



Department of Homeland Security Office of Inspector General

Assessment of Federal Emergency Management Agency's Emergency Support Function Roles and Responsibilities



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Homeland Security

Preface

The Department of Homeland Security (DHS) Office of Inspector General (OIG) was established by the *Homeland Security Act of 2002* (Public Law 107-296) by amendment to the *Inspector General Act of 1978*. This is one of a series of audit, inspection, and special reports prepared as part of our oversight responsibilities to promote economy, efficiency, and effectiveness within the department.

This report addresses the Federal Emergency Management Agency's readiness to undertake its Emergency Support Function roles and responsibilities as outlined in the *National Response Framework*. It is based on interviews with agency employees and officials, direct observations, and a review of applicable documents.

The recommendations herein have been developed to the best knowledge available to our office, and have been discussed in draft with those responsible for implementation. We trust this report will result in more effective, efficient, and economical operations. We express our appreciation to all of those who contributed to the preparation of this report.

A handwritten signature in cursive script that reads "Richard L. Skinner".

Richard L. Skinner
Inspector General

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Abbreviations

DHS	Department of Homeland Security
ESF	Emergency Support Function
FEMA	Federal Emergency Management Agency
OIG	Office of Inspector General

Executive Summary

The *National Response Framework* is a guide to how the Nation conducts all-hazards response. It incorporates 15 Emergency Support Function Annexes that group functional capabilities and resources to provide federal support to states and federal-to-federal support for disasters and emergencies, including those declared under the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Public Law 100-707). The Federal Emergency Management Agency (FEMA) is the coordinator or primary agency for eight Emergency Support Functions and is responsible for ensuring that activities for these functions are accomplished as outlined in the *National Response Framework*.

FEMA generally has fulfilled its Emergency Support Function roles and responsibilities. Specifically, the agency manages mission assignments, executes contracts, and procures goods and services for its Emergency Support Function activities. However, the agency can improve its coordination with stakeholders and its operational readiness.

FEMA should be coordinating with stakeholders for all Emergency Support Functions. For example, there was little evidence that support agencies are regularly included in planning meetings for an Emergency Support Function mission, even though agency officials said that such coordination would be beneficial. The agency must coordinate these activities with all relevant federal departments and agencies, state and local officials, and private sector entities to effectively execute the Emergency Support Function mission.

FEMA also should be fully prepared to provide community assistance after a disaster. Specifically, it is not conducting long-term recovery exercises, and one Emergency Support Function does not have clearly defined procedures to identify and deploy needed recovery services to disaster affected communities.

The report contains 11 recommendations that, when implemented, should improve FEMA's efforts to meet its Emergency Support Function roles and responsibilities.

Background

The *National Response Framework* presents the guiding principles that enable all response partners to prepare for and provide a unified national response to disasters and emergencies. The *National Response Framework* includes a number of Annexes that provide additional guidance for responding to disasters. These include support annexes, incident-specific annexes, and 15 Emergency Support Function (ESF) Annexes. The federal government maintains a wide array of capabilities and resources that can be made available in response to a threat or disaster, and the ESF Annexes group together the key functions most commonly needed to respond to incidents.

Each ESF has a coordinating federal agency, as well as primary and support agencies (see appendix C for a complete list of these agencies). The ESF coordinator is the entity with management oversight for that ESF and has ongoing responsibilities throughout the life cycle of incident management, from preparedness to response and recovery. Those responsibilities include—

- Coordinating before, during, and after an incident, including pre-incident planning and coordination;
- Maintaining ongoing contact with primary and support agencies;
- Conducting periodic ESF meetings and conference calls; and
- Coordinating efforts with corresponding private sector organizations.

A primary agency is a federal agency with significant authorities, roles, resources, or capabilities for a particular function within an ESF. Primary agency responsibilities include—

- Supporting the ESF coordinator and closely coordinating with the other primary and support agencies;
- Notifying and requesting assistance from support agencies;
- Working with appropriate private sector organizations to maximize use of all available resources;
- Conducting situation and periodic readiness assessments;
- Planning for short- and long-term incident management and recovery operations;

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- Managing mission assignments¹ and coordinating with support agencies, as well as appropriate state officials, operations centers, and agencies; and
 - Ensuring financial and property accountability for ESF activities.

Support agencies have specific capabilities or resources that support the primary agency in executing the ESF mission. These agencies' responsibilities include—

- Conducting operations, when requested by DHS or the designated ESF primary agency, consistent with their own authority and resources, except as directed otherwise pursuant to the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Stafford Act);
- Participating in planning for short- and long-term incident management and recovery operations and the development of supporting operational plans, Standard Operating Procedures, checklists, or other job aids, in concert with existing first-responder standards;
- Assisting in the conduct of situational awareness; and
- Furnishing available personnel, equipment, or other resource support as requested by DHS or the ESF primary agency.

Table 1 lists each ESF and the corresponding federal departments and agencies that serve as a coordinator and/or a primary agency. No fewer than 12 federal departments and agencies have this responsibility. ESFs where the Federal Emergency Management Agency (FEMA) serves either as coordinator, primary agency, or both are highlighted.

¹ Mission assignments are work orders issued by FEMA to other federal agencies directing the completion of a specified task. As of June 2010, FEMA has developed 237 pre-scripted mission assignments with 29 federal agencies. Pre-scripted mission assignments include statements of work and cost estimates that can be modified to meet event-specific needs.

Table 1. Emergency Support Functions with Coordinator and Primary Agencies

Emergency Support Function	ESF Coordinator (C) or Primary Agency (P)
ESF-1 Transportation	Department of Transportation (C/P)
ESF-2 Communications	DHS/National Communications System (C/P) DHS/FEMA (P)
ESF-3 Public Works and Engineering	Department of Defense/U.S. Army Corps of Engineers (C/P) DHS/FEMA (P)
ESF-4 Firefighting	Department of Agriculture/Forest Service (C/P)
ESF-5 Emergency Management	DHS/FEMA (C/P)
ESF-6 Mass Care, Emergency Assistance, Housing, and Human Services	DHS/FEMA (C/P)
ESF-7 Logistics Management and Resource Support	DHS/FEMA (C/P) General Services Administration (C/P)
ESF-8 Public Health and Medical Services	Department of Health and Human Services (C/P)
ESF-9 Search and Rescue	DHS/FEMA (C/P) Department of Defense/U.S. Air Force (P) DHS/U.S. Coast Guard (P) Department of Interior/National Park Service (P)
ESF-10 Oil and Hazardous Materials Response	Environmental Protection Agency (C/P) DHS/U.S. Coast Guard (P)
ESF-11 Agriculture and Natural Resources	Department of Agriculture (C/P) Department of Interior (P)
ESF-12 Energy	Department of Energy (C/P)
ESF-13 Public Safety and Security	Department of Justice (C/P)
ESF-14 Long-Term Community Recovery	DHS/FEMA (C/P) DHS (P) Department of Agriculture (P) Department of Housing and Urban Development (P) Small Business Administration (P)
ESF-15 External Affairs	DHS (C) DHS/FEMA (P)

Source: National Response Framework, Emergency Support Function Annex

Results of Review

FEMA generally has fulfilled its Emergency Support Function roles and responsibilities. Specifically, the agency manages mission assignments, executes contracts, and procures goods and services for its Emergency Support Function activities. However, the agency can improve its coordination with stakeholders and its operational readiness. For example, there was little evidence that support agencies are regularly included in planning meetings for an Emergency Support Function mission, even though agency officials said that such coordination would be beneficial. FEMA must coordinate these activities with all relevant federal departments and agencies, state and local officials, and private sector entities to effectively execute the Emergency Support Function mission.

FEMA also should be fully prepared to provide community assistance after a disaster. Specifically, it is not conducting long-term recovery exercises, and one Emergency Support Function does not have clearly defined procedures to identify and deploy needed recovery services to disaster affected communities.

ESF-2: Communications

ESF-2 Communications is responsible for supporting the restoration of the communications infrastructure, coordinating federal communications support to response efforts, and facilitating the recovery of systems and applications from cyber attacks. ESF-2 also provides communications support to federal, state, tribal, and local governments as well as first responders when their systems have been affected. Finally, ESF-2 provides communications and information technology support to the Joint Field Office and field teams.² DHS' National Communications System is both the ESF-2 coordinator and a primary agency, while FEMA is the other primary agency.

² A Joint Field Office is a temporary federal facility established locally to provide a central point for federal, state, local, and tribal executives with responsibility for incident oversight, direction, and assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions.

Figure 1. Utility workers repair communication lines



Source: FEMA

FEMA's ESF-2 focus is supporting public safety communications during a disaster. FEMA designates the personnel for supporting tactical communications functions and provides communications support to state, tribal, and local first responders, as well as to the Joint Field Office, its field teams, and other federal response teams.

Coordination With ESF Stakeholders

FEMA works closely with the National Communications System to coordinate with ESF-2 federal partners, state and local governments, and the private sector. This is accomplished through interagency meetings as well as more informal mechanisms, such as telephone calls and e-mail correspondence. During normal operations, FEMA participates in a weekly call hosted by the National Communications System with other federal agencies, state and local jurisdictions, as well as the private sector.

When ESF-2 is activated, departments and agencies participate in FEMA video teleconferences run through the National Response Coordination Center, which provide situation awareness updates to stakeholders. A situation report is distributed detailing the current status of the event, communications issues that have arisen, ongoing communications activities by federal and state partners, and the priorities for ESF-2 moving forward. After an incident, FEMA officials participate in after-action reviews conducted through the National Communications System. The private sector is included in these reviews and in a winter seminar that brings together public and private sector partners. However, the most recent winter seminar was held in 2008.

To further facilitate coordination, FEMA has supported the establishment of the legislatively mandated Regional Emergency Communications Coordination Working Groups in the 10 FEMA Regions. Group membership includes emergency response organizations from federal, state, local, and tribal governments, nongovernmental organizations, and private sector entities. Each group meets at least twice a year to discuss emergency communications issues with federal, state, and local stakeholders. FEMA officials said that most groups supplement face-to-face meetings with regular teleconferences. FEMA is assisting each group to develop annual reports mandated by the *Post-Katrina Emergency Management Reform Act* (Public Law 109-295) to the FEMA Regional Administrators, which FEMA headquarters will then consolidate into a single report to the Federal Communications Commission and other federal partners. FEMA officials said that the groups are in various stages of drafting these annual reports.

FEMA is involved in numerous catastrophic and other incident planning initiatives for ESF-2. For example, the Federal Interagency Hurricane Concept of Operations Plan and the Interim Federal Interagency Improvised Nuclear Device Concept of Operations Plan all contain an annex detailing communications plans for such events. FEMA is also helping create state and regional emergency communications plans and has assisted with developing 31 state and 9 regional plans to help these entities prepare to deploy and preposition resources for catastrophic events.

Operational Readiness

FEMA has trained staff and significant communications assets available for ESF-2 functions. If ESF-2 is activated, FEMA can provide communications support to the local emergency community. FEMA's Mobile Emergency Response Support detachments have approximately 230 highly qualified multidiscipline personnel and more than 40 specialized vehicles spread across six geographical regions. Each detachment has a stand-alone capability to support federal, state, and local emergency responders with interoperable communications; information processing; and operational, logistical, power generation, and life support capabilities. FEMA has deployed Mobile Emergency Response Support detachments in connection with numerous major incidents. Training for personnel includes

operator-level, discipline-specific instruction by experienced members within each detachment, vendor-provided training, and training from the Emergency Management Institute.

FEMA participates in both internal and external ESF-2 exercises. FEMA has participated in multiple communications-oriented exercises, including the Defense Interoperability Communications Exercise, Vigilant Accord, and Eagle Horizon. FEMA has also begun to conduct no-notice “thunderbolt” exercises³ to assess the readiness of its components. One such exercise conducted in Region V deployed a Mobile Emergency Response Support detachment, which identified shortcomings in the information technology systems. In April 2010, FEMA participated in an exercise that replicated the activation, deployment, response, recovery, and deactivation of ESF-2 operations. The exercise included all ESF-2 partners, among them state, county, and city officials. After-action reviews are also conducted after each deployment and shared with all the Mobile Emergency Response Support detachments and FEMA headquarters. These reviews help identify areas of needed improvement for future events.

FEMA is collaborating with the National Communications System to develop ESF-2 Standard Operating Procedures that will be the foundation for creating task books and job aids, as well as outline the roles, responsibilities, and procedures for incident management. While FEMA officials said that FEMA’s ESF-2 responsibilities focus on response, the draft Standard Operating Procedures outline FEMA’s responsibility in ensuring a smooth transition to and help during the recovery phase of an incident. FEMA officials did not know when the National Communications System will publish the finalized Standard Operating Procedures.

FEMA has worked to identify new technologies and other improvements to increase the capabilities of the Mobile Emergency Response Support detachments. A major component of this effort is upgrading the Mini-Emergency Operations Vehicles. These vehicles had limited communications capabilities, serving mainly as mobile offices for operations. FEMA has upgraded these vehicles to be able to provide better communications support to the mobile operations of the detachments.

³ Administrator Fugate instituted a program of notice and no-notice exercises to help determine the readiness of FEMA components to respond to incidents.

Financial Management and Accountability

FEMA has pre-scripted mission assignments for ESF-2 and other mechanisms in place to help maintain financial management and accountability. FEMA has established 11 pre-scripted mission assignments for ESF-2 with five different federal agencies to expedite assistance. These assignments include statements of work and cost estimates that can be modified to meet event-specific needs. ESF-2 mission assignments include staffing for the National Response Coordination Center and other coordination and response teams, impact assessments of the affected area, and communications equipment support. The draft Standard Operating Procedures outline the importance of maintaining clear records of the mission assignments used during operations.

FEMA officials said that they do not execute contracts to support ESF-2 operations specifically, but some contracts that FEMA uses on a day-to-day basis can also be used to respond to an incident.

Conclusion

Overall, FEMA is fulfilling its ESF-2 roles and responsibilities. FEMA coordinates well with the National Communications System and has mechanisms in place to coordinate with other stakeholders, including through the regions. However, FEMA needs to consistently hold meetings with stakeholders and complete required reports from the regions to ensure continued coordination with stakeholders and to assess emergency communications capabilities and needs.

FEMA can provide trained staff and teams in the event of an incident. These operational detachments have identified technology needs for the mission, and FEMA is in the process of making the necessary equipment upgrades. FEMA also includes emergency communications needs in its planning initiatives and exercises its capabilities regularly. To supplement its own staff and resources, FEMA has 11 ESF-2 pre-scripted mission assignments to help respond to incidents. In addition, the draft ESF-2 Standard Operating Procedures outlines the importance of clear record keeping and financial accountability.

Recommendations

We recommend that the Director for Disaster Emergency Communications:

Recommendation #1: Complete the statutorily required annual reports from the Regional Emergency Communications Coordination Working Groups to ensure that any issues identified in the regions are addressed and to assess communications capabilities in the regions.

Management Comments and OIG Analysis

Recommendation #1: FEMA concurred with this recommendation and has provided OIG a copy of the FY 2009 Regional Emergency Communications Coordination Working Groups Report.

We consider this recommendation closed because OIG was provided a copy of the FY 2009 Regional Emergency Communications Coordination Working Groups Report.

ESF-3: Public Works and Engineering

ESF-3 Public Works and Engineering coordinates and organizes the federal government's capabilities and resources to deliver services, technical assistance, engineering expertise, construction management, and other support to prepare for, respond to, or recover from an incident. The U.S. Army Corps of Engineers is both the coordinating agency and a primary agency, while FEMA is the other primary agency.

Figure 2. Flooding in Tennessee



Source: FEMA

FEMA's ESF-3 focus is recovery. FEMA is responsible for providing recovery resources and support, including assistance under the Public Assistance Grant Program. This program provides supplemental federal disaster grant assistance for debris removal and disposal; emergency protective measures; and the repair, replacement, or restoration of disaster-damaged public facilities and the facilities of certain qualified private nonprofit organizations. The Public Assistance Grant Program distributes, on average, just under \$3 billion in disaster assistance to states and localities every year.

Coordination With ESF Stakeholders

FEMA is coordinating with the U.S. Army Corps of Engineers, state and local governments, and private sector organizations. However, FEMA needs to enhance its coordination with ESF-3 support agencies, which would be beneficial to the mission of the Public Assistance Grant Program.

During an incident FEMA assigns an ESF-3 Public Assistance Officer to coordinate and manage interagency infrastructure recovery programs and the Public Assistance Grant Program. To aid coordination, the U.S. Army Corps of Engineers' ESF-3 representative is physically located at FEMA headquarters. FEMA, however, demonstrated little coordination between ESF-3 support agencies beyond operations within the National and Regional Response Coordination Centers. On the other hand, some of the ESF-3 support agencies may not be necessary to

conduct ESF-3 functions. For example, the American Red Cross is listed as a support agency that works with the U.S. Army Corps of Engineers, FEMA, and other entities to “ensure integration of commodities requirements and distribution processes into mass care operations.” However, within the *National Response Framework*, ESF-6 covers mass care operations and ESF-7 handles logistics, so the American Red Cross may not be necessary as an ESF-3 support agency.

After an incident, FEMA officials co-lead workshops and breakout groups at the annual U.S. Army Corps of Engineers Remedial Action Plan workshop to determine if policy or doctrinal adjustments are necessary. FEMA and the U.S. Army Corps of Engineers held a Senior Leaders’ Seminar in April 2009 to work through additional interagency policy and procedural issues that occurred in real-world events and were raised during the workshop. Only 3 of 18 support agencies (the Environmental Protection Agency, the Department of Transportation, and the U.S. Coast Guard) attended the most recent workshop held in December 2009.

To further coordinate recovery efforts with the U.S. Army Corps of Engineers, other support agencies, state, local, and tribal governments, as well as the private sector, FEMA has published Standard Operating Procedures for Essential Infrastructure Assessments to establish a systematic approach for conducting assessments and to maintain consistency in the use of assessment results. The Standard Operating Procedures outlines the roles and responsibilities of FEMA, state and local governments, and other responding federal agencies. It ensures that all parties involved in infrastructure assessments understand the priorities and process by which assessments will be conducted.

To coordinate with state and local governments, FEMA conducts annual meetings with the states to discuss issues relating to the Public Assistance Grant Program. The 13th annual meeting was held in November 2009, with discussions on public works issues such as debris removal and infrastructure assessments. To further help state and local government officials navigate the program, FEMA has also published numerous guides so participants can obtain and administer public assistance funding. Furthermore, after an incident, FEMA utilizes a customer survey for state and local governments to assess the program and suggest improvements. FEMA is also working with and encouraging state

and local governments to establish their own debris management plans.

The private sector owns or operates a large proportion of the Nation's infrastructure and is a partner or lead for the rapid restoration of infrastructure-related services. Because for-profit entities are not eligible for public assistance, FEMA primarily coordinates with trade associations that represent the private sector. FEMA engages with organizations such as the American Public Works Association and the National Rural Electrical Cooperative Association for technical assistance and information gathering to restore the Nation's critical infrastructure.

FEMA is involved in some catastrophic planning and exercises for ESF-3, but it is unclear how these efforts are coordinated with other ESF-3 agencies. FEMA is updating the Catastrophic Concept of Operations Plan for the Public Assistance Grant Program, which focuses on topics such as staffing levels, essential infrastructure assessments, and large facility assessments. The Public Assistance Division has also coordinated with various other FEMA components throughout the planning process for the New Madrid Seismic Zone Catastrophic Earthquake Planning Project. Additionally, FEMA has worked with the U.S. Army Corps of Engineers and the Environmental Protection Agency to plan for incidents requiring the removal of contaminated debris, and has conducted an exercise with those partners to test the plan.

FEMA participated in exercise activities, such as planning and after action reviews, in October 2009 for eight exercises, including two major earthquakes, two radiological, two nuclear, and a mass migration event. These planning exercises incorporated ESF-3 activation; however, it is unclear what role the Public Assistance Grant Program plays in these exercises. For example, during a July 2009 hurricane exercise involving the state of Florida and FEMA Region IV, only three ESF-3 personnel were in attendance: one from the U.S. Army Corps of Engineers and two from FEMA. No ESF-3 support agencies were involved in the exercise, the exercise documents do not show any requests for ESF-3 assistance, and none of the ESF-3 participants took part in the after-action review, even though Phase II of the exercise focused on response and recovery issues. One of the issues identified was the need for better communication and coordination between the ESFs and the Regional Response Coordination Center. It is unclear whether FEMA did not invite the support agencies to the exercise and the after-action review, or whether the agencies were invited but chose

not to participate. It is also unclear how FEMA will address this issue.

In February 2010, FEMA released a draft copy of the *National Disaster Recovery Framework*; however, this document is not consistent with ESF-3 or the *National Response Framework*. Under the Infrastructure Systems Recovery Support Function of the *National Disaster Recovery Framework*, the coordinating agency for these recovery efforts has yet to be determined, even though FEMA is the primary agency responsible for coordinating recovery efforts under ESF-3. These two documents should be aligned to prevent confusion during and after an incident.

Operational Readiness

FEMA has a significant number of trained staff for operations functions at fixed and field facilities; however, this staffing level may not be sufficient to respond to an incident. When activated, ESF-3 representatives deploy to the National and Regional Response Coordination Centers. The ESF-3 Team Leader at the Regional Response Coordination Center coordinates assignments, actions, and other support until the Joint Field Office is established. FEMA Public Assistance personnel also deploy to initiate regional support of ESF-3 functions. According to FEMA officials, there are 36 full-time Public Assistance Grant Program employees working at FEMA Headquarters and approximately 30 working in the FEMA regions. To supplement this force, the program has a cadre of more than 1,200 Disaster Assistance Employees who can be deployed to an incident. However, as of February 2010, 43% of the cadre was deployed to previous disasters and 42% was “unavailable,” leaving only 15% available for deployment. It is unclear whether the 191 remaining reservists are adequate to respond to future disasters. FEMA officials said that these numbers do not paint a complete picture, however, because when a disaster strikes, more Disaster Assistance Employees make themselves available. FEMA officials said that typically 50% of the reserve cadre is available for response.

The Disaster Assistance cadre of employees will be one of the first with a credentialing system in place. There is also a training curriculum for each position. However, this training provides only basic Public Assistance Grant Program information and is limited to classroom instruction.

FEMA has identified new technology and procedures to improve its ESF-3 recovery capabilities. For example, FEMA's Public Assistance Division has utilized new technology to estimate the size of debris that needs to be removed following an incident. The new technology uses geospatial information to estimate the amount of debris in a location. By using estimates, FEMA can determine more efficiently and effectively the amount of damage caused by a disaster and speed recovery funding to the area. This technology is available to FEMA in a limited quantity and has not been deployed nationwide.

Financial Management and Accountability

FEMA has executed contracts to help fulfill its ESF-3 roles and responsibilities. FEMA has three Public Assistance technical assistance contracts which it executes to procure architect and engineering services after an incident. These contracts also provide additional staffing for FEMA disaster activities.

FEMA is also prepared to manage mission assignments. FEMA established 18 pre-scripted mission assignments with the U.S. Army Corps of Engineers for ESF-3 missions that cover pre-incident, operational, post-incident, and oversight assistance. These missions include emergency power and water restoration, debris removal, technical assistance for states, and staffing assistance at all levels.

To further assist with financial management oversight, recipients of Public Assistance grants of more than \$500,000 are required to perform a single audit or a program-specific audit and are also subject to additional audits by the DHS Office of Inspector General and other state auditors.

Conclusion

Overall, FEMA is positioned well to fulfill its ESF-3 mission. FEMA coordinates with the U.S. Army Corps of Engineers as well as with state and local governments. However, FEMA needs to enhance its coordination with ESF-3 support agencies to fulfill its role as a primary agency. There is little evidence that support agencies are regularly included in planning for ESF-3 missions, despite the fact that FEMA officials said such coordination would be beneficial to its own efforts. On the other hand, some support agencies may not be necessary to conduct ESF-3 functions. FEMA should consider whether ESF-3 support agencies, such as

the American Red Cross, are better placed or are already covered within other ESF annexes.

FEMA has a significant number of trained staff to be used for operations functions at fixed and field facilities; however, without a staffing model, it is unclear whether this staffing level is sufficient to respond to an incident. FEMA also has mechanisms in place to ensure that funds spent on ESF-3 missions are properly spent. FEMA has contracts and pre-scripted mission assignments to help control costs and assist in financial management oversight. Furthermore, regulations governing the Public Assistance Grant Program and audit requirements help to ensure proper use of government funds.

The draft copy of the *National Disaster Recovery Framework* is not consistent with ESF-3 or the *National Response Framework*. These two documents should be aligned to prevent confusion during and after an incident.

Recommendations

We recommend that the Director of the Public Assistance Directorate:

Recommendation #2: Ensure that FEMA fulfills its ESF-3 requirements, including coordinating with ESF-3 primary and support agencies on both planning and operations.

Recommendation #3: Examine FEMA's classification as a primary agency for ESF-3 since its roles and responsibilities are similar to those of other support agencies and examine the suitability of all listed ESF-3 support agencies given that they are often not active participants in planning or exercises.

Recommendation #4: Ensure ESF-3 responsibilities are aligned with the *National Disaster Recovery Framework* and evaluate whether FEMA's recovery portion of ESF-3 is still a necessary part of ESF-3 and the *National Response Framework* as a whole.

Management Comments and OIG Analysis

Recommendation #2: FEMA concurred with this recommendation and said that it is fulfilling its ESF-3 requirements and responsibilities through the Public Assistance Program by staffing

the Infrastructure Support Branch Director position when ESF-3 or other infrastructure ESFs are activated pursuant to the *National Response Framework*. FEMA also said that they have held regular meetings, teleconferences, planning workshops, joint training, and issued guidance on debris removal. Additionally, FEMA said that interagency task forces are in place for debris, levee, and other recovery related matters in order to coordinate a federal response.

We consider this recommendation resolved because steps are being taken to implement it; however, it will remain open until FEMA provides documentation that it is coordinating with ESF-3 primary and support agencies on both planning and operations.

Recommendation #3: FEMA concurred with this recommendation and said that it will continue to examine its current role under ESF-3; however, FEMA does not plan to propose a re-designation of FEMA under ESF-3.

We consider this recommendation resolved because steps are being taken to implement it; however, it will remain open until evidence is provided that FEMA is examining its current role under ESF-3.

Recommendation #4: FEMA concurred with this recommendation and said that it has continued its efforts with other federal agencies and partners in developing the *National Disaster Recovery Framework* and the Recovery Support Function construct. FEMA also said that transitions between ESFs under the *National Response Framework* and the Recovery Support Functions under the *National Disaster Recovery Framework* are being discussed and coordinated as the Recovery Support Functions annexes are developed.

We consider this recommendation resolved because steps are being taken to implement it; however, it will remain open until evidence is provided that it has been fully implemented.

ESF-5: Emergency Management

ESF-5 is the coordination function for all federal departments and agencies across the spectrum of domestic incident management from hazard mitigation and preparedness to response and recovery. ESF-5 is designed to identify resources for alert, activation, and subsequent deployment for quick and effective incident response. During the post-incident response phase, ESF-5 is responsible for the support and planning

functions which include critical activities that facilitate multiagency planning and coordination for operations involving incidents requiring federal coordination. They include alert and notification; staffing and deployment of DHS and FEMA response teams, as well as response teams from other federal departments and agencies; incident action planning; coordination of operations; logistics management; and other support functions as required.

Figure 3. President Obama chairs hurricane briefing at the National Response Coordination Center



Source: The White House

FEMA is the coordinator and primary agency for ESF- 5 Emergency Management. FEMA is responsible for supporting overall activities of the federal government for domestic incident management. FEMA also coordinates with appropriate state and local officials, as well as the private sector, to utilize all available resources.

Coordination With ESF Stakeholders

FEMA is coordinating with ESF-5 support agencies, state and local officials, and the private sector. According to FEMA officials, they use a number of methods, including meetings, exercises, and video teleconferencing, to coordinate ESF-5 activities for all phases of an incident and develop disaster plans.

Periodically, FEMA conducts ESF Leaders Group meetings and exercises, interagency planning meetings, and has Regional Interagency Steering Committees for all 10 FEMA regions. Pre-

incident coordination among ESF-5 and the ESF Leaders Group allows an opportunity to discuss their roles and responsibilities in the context of National Response Coordination Center requirements and actions during a disaster. All 15 ESF Leaders were present at an exercise to discuss anticipated federal support requirements and policy decisions the ESF Leaders Group would likely encounter. In addition, the exercise allowed participants to identify gaps in interagency, agency, and National Response Coordination Center plans, policies, and prescribed procedures.

During incidents, the primary coordination method is video teleconferences conducted at the National Response Coordination Center to discuss updates and response strategies to an incident. These teleconferences usually include White House, federal, and state officials, as well as national volunteer organizations involved in the response. Video teleconferences are critical to the coordination effort provided by ESF-5, not only during the response phase but also prior to a disaster and during the recovery phase. The video teleconferences enable all federal, state, and local response partners to communicate their efforts to one another and potentially eliminate duplicate response efforts.

After incidents, FEMA and other federal agencies implement a daily disaster coordination plan to assist with response and recovery. The daily coordination plan provides federal incident managers with a daily meeting schedule and control objectives for the incident, ranging from maintaining situational awareness and supporting requests from impacted regions to general coordination among state, local, tribal, and nongovernmental partners. Additionally, at the Joint Field Offices, FEMA uses incident action plans to coordinate activities with federal and state partners. These plans include incident objectives to address issues at the local level, and may range from continuing hazardous material cleanup to conducting kickoff meetings for Public Assistance applicants.

FEMA also coordinates the ESF-5 mission with the private sector. FEMA coordinated an outreach effort with the private sector in Tennessee regarding its recent flood disaster. At the request of a Home Depot store manager, FEMA extended an outreach program geared toward helping the local community mitigate any future disasters.

Operational Readiness

FEMA has advanced its ESF-5 operational readiness efforts through “thunderbolt” no-notice exercises, National Response Team Readiness meetings, and new technology for incident response. Many of the resources utilized before and during an incident are also effective tools for short- and long-term recovery efforts, including the incident action plan and the federal interagency Terrorist Use of Explosives Concept of Operations Plans.

FEMA’s Response Directorate, in partnership with the National Preparedness Directorate’s National Exercise Division, leads “thunderbolt” exercises for FEMA. Participants in these exercises include FEMA headquarters and field personnel. A team of subject matter experts observes and evaluates the exercises to identify strengths and areas for improvement. A recent “thunderbolt” exercise scenario tested the regional Incident Management Assistance Teams and focused on alerting, notifying, and activating the regional operations and establishing an initial incident management operating facility.

Additionally, in June 2010 ESF-5 conducted a Tabletop Exercise for the 2010 Hurricane Season for the ESF Leaders Group. The interagency exercise was designed to promote informal discussion regarding the role and responsibilities of various interagency components during a plausible hurricane threat. Following the exercise, participants were given the opportunity to discuss strategies, planning, policies, procedures and resources to the needs of the overall response. In response to our inquiry about trained ESF-5 staff that could be provided for operations functions at fixed and field facilities to support interagency response efforts, FEMA officials provided us with its daily Disaster Reserve Workforce Division, Disaster Assistance Employee availability report. The Disaster Reserve Workforce consists of non-permanent employees appointed under the Stafford Act and activated or deployed to perform disaster-specific response and recovery activities.

FEMA is looking for new technological advances to assist its response effort. FEMA requirements for this system include the ability to interface with smartphones and multiple social media, to manipulate data for analysis, and to interact with other federal agencies, states, and nongovernmental organizations. The system must also interface with existing FEMA systems and provide

information-tracking and reporting functions, among other requirements. ESF-5 is considering multiple systems to fulfill these requirements. One such system is designed to increase the situational awareness of analysts and mission partners. This system is capable of showing geospatial information in chronological order of planned activities and reported incidents related to the public safety and security.

To help facilitate short-term recovery activities, FEMA will open a Joint Field Office to centrally locate federal and state disaster employees. As part of the daily incident action plan, ESF-5 distributes a division assignment list with all the work assignments due to start that day or continuing from previous days. To help conduct long-term recovery activities, Federal Concept of Operations Plans are being written for the 15 planning scenarios in which ESF-5 has a significant role. The purpose of the plans is to outline federal prevention, protection, response, and recovery operations. For example, ESF-5 will be responsible for coordinating, through the National Response Coordination Center, response and recovery efforts for all ESFs if a Terrorist Use of Explosives incident occurs.

Incident action plans are another tool used to facilitate recovery efforts. The incident action plan work assignments are approved by the Federal Coordinating Officer at the Joint Field Office. Some of the work assignments include formation or reactivation of Long-Term Recovery Committees; coordination with ESF-10 public assistance; and coordination with the Tennessee Emergency Management Agency on debris and hazardous waste issues.

Financial Management and Accountability

FEMA continues to improve its efforts with ensuring financial management and accountability for the ESF-5 mission. For example, FEMA requires mission assigned departments and agencies to submit a monthly progress report, a reimbursement transmittal, and a mission assignment bill review sheet. Mission assignment managers and regional coordinators analyze this information for accuracy and completeness. FEMA has also been instrumental in training DHS and other federal department and agency officials about the mission assignment process.

FEMA uses pre-scripted mission assignments to procure services to fulfill its ESF-5 roles and responsibilities. FEMA has pre-

scripted mission assignments with several federal agencies, including the Department of Defense's National Geospatial-Intelligence Agency and the National Weather Service. ESF-5 has a pre-scripted mission assignment with the National Geospatial-Intelligence Agency to provide analytical support to the Regional Response Coordination Center.

FEMA officials said that the agency annually provides DHS and other federal departments and agencies opportunities to attend mission assignment training prior to hurricane season. The goal of the training is to provide participants with key mission assignment concepts and the knowledge to carry out their assigned responsibilities related to mission assignment processing. A premise of the course is to bring together program and financial staff who share the responsibility for mission assignment issuance, execution, billing, reimbursement, and closeout. The last training session was held in May 2009 and was attended by representatives from several federal agencies and programs.

Conclusion

FEMA is fulfilling its ESF-5 roles and responsibilities. Throughout all phases of an incident, FEMA coordinates its ESF-5 activities with its stakeholders by coordinating meetings, exercises, and Regional Interagency Steering Committees, and producing daily coordination plans to assist with disaster operations.

Additionally, FEMA has made strides enhancing ESF-5 operational readiness through "thunderbolt" no-notice exercises, National Response Team Readiness meetings, and incident action plans, and by actively participating in the development of the Terrorist Use of Explosives Concept of Operations Plan.

Finally, FEMA has procedures in place to ensure financial management and accountability in support of the ESF-5 mission. FEMA also has pre-scripted mission assignments to procure services for the ESF-5 mission and has provided a vital service to DHS and other federal department and agency officials by offering mission assignment training. This training ensures that participants are made aware of concepts and procedures that will assist them in performing their mission assignment processing responsibilities.

ESF-6: Mass Care, Emergency Assistance, Housing, and Human Services

ESF-6 Mass Care, Emergency Assistance, Housing and Human Services, is responsible for coordinating the delivery of federal mass care, emergency assistance, housing, and human services when response and recovery needs exceed state, local, and tribal capabilities.

Figure 4. Tornado Survivors receiving meals from the American Red Cross



Source: FEMA

The *National Response Framework* designates FEMA as the coordinator and a primary agency for ESF-6. At FEMA Headquarters, the Individual Assistance Division in the Response and Recovery Directorate has the lead nationally for ESF-6; the 10 FEMA Regions coordinate and implement the ESF-6 mission on disaster operations. ESF-6's primary implementation actions are performed at the lowest possible organizational level: the FEMA Regional Response Coordination Centers and Joint Field Offices. However, the Individual Assistance Division at FEMA Headquarters is responsible for coordinating national-level issues, addressing Regional Response Coordination Centers' requests for additional support teams, and addressing multiple requests for resources. The headquarters branch is also responsible for coordinating information on mass care, emergency assistance, housing, and human services for senior leaders, and activating and distributing information for national-level support agencies.

Coordination With ESF Stakeholders

ESF-6 headquarters officials coordinate with other federal agencies, state and local governments, and nonprofit and private organizations prior to, during, and after a disaster. Headquarters officials have created ongoing relationships with their partners throughout all phases of disaster preparedness, response, and recovery.

Prior to an incident, FEMA coordinates with its ESF-6 partners by hosting or coordinating meetings and conference calls. They participate in committees, task forces, and working groups to engage in disaster coordination. ESF-6 headquarters officials also host “brown bag” sessions to share information about new and ongoing programs. They engage with voluntary organizations and state representatives in training development focus groups and course delivery. FEMA also maintains memorandums of understanding with voluntary organizations and interagency agreements with other support agencies.

When an incident occurs, ESF-6 headquarters officials contact and activate support partners at the national level. They coordinate with partners daily during an incident to identify support needs, develop guidance, and address and resolve any issues. They also deploy support teams to assist regions and partners.

After an incident, Individual Assistance officials at FEMA headquarters host and contribute to after-action events related to emergency assistance, housing, human services, and mass care. They also participate in the development of Long-Term Recovery Committees.

Although ESF-6 headquarters officials coordinate with their partners, we are concerned that if a major disaster occurred in today’s economy, ESF-6 efforts with supporting nonprofit and private organizations (such as Voluntary Organizations Active in Disasters and other voluntary agencies) may be limited because these organizations may have staffing and funding resource limitations, leaving the federal government to rely heavily on mission assignments with other federal agencies to accomplish the ESF-6 mission. FEMA should have coordinated national and regional contingency and operational plans on how to handle an incident if nonprofit and private partners cannot help in the response efforts.

We are also concerned that FEMA's Individual Assistance headquarters capabilities to respond and provide program oversight may be slowed because of ESF-6's expansive scope of responsibility. ESF-6 consists of mass care, emergency assistance, housing, and human services, each of which has extensive missions. FEMA should assess each component's role to ensure that the component responsibilities are coordinated within an appropriate disaster assistance delivery sequence.

Operational Readiness

FEMA leadership and headquarters officials have taken steps to achieve a high level of operational readiness through field level support, multilevel readiness exercises, disaster information updates, and new information systems.

Individual Assistance headquarters officials support organizational activities by deploying subject matter experts. For example, FEMA deployed trained headquarters Voluntary Agency Liaisons to support field operations during hurricanes Gustav and Ike, the Midwest floods and tornadoes, the California wildfires, and the New Jersey floods. Deployed staff provided disaster survivor case management, preliminary damage assessments, disaster response and recovery training, and partner liaison services.

The ESF-6 Voluntary Agency Liaison has conducted ESF-6 specific readiness assessments, including regular strategic conference calls and e-mails to update FEMA regional office staff members on national partner capabilities and readiness, and to discuss other ESF-6 topics. Similarly, the ESF-6 Voluntary Agency Liaison regularly e-mails and conference calls agency partners to request feedback, offer assistance, and share disaster-related information.

To better prepare state, local, and tribal governments, communities, and individuals to recover from disaster events, Individual Assistance headquarters officials have developed new information systems, such as the following:

- Disasterassistance.gov is a comprehensive disaster resource website with information on current disasters, available aid, survivor application processing, and status tracking.

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- FEMA's Housing Portal is an online tool that consolidates housing listings from many different sources into a single searchable database. The goal of the tool is to match displaced individuals and families with places to live.
 - National Donations Management Network is a donations management system that allows state governments to efficiently capture offers of unsolicited donated goods and communicate these offers with the members of the state's Voluntary Organizations Active in Disaster for possible accepting, processing, and delivery.
 - FEMA's National Shelter System is a web-based planning and operational tool created to support federal, state, and local government agencies responsible for mass care and emergency assistance. It can be used to identify facilities' capabilities and capacities; create custom maps of those facilities in relation to evacuation routes, hazards, and critical infrastructure; and share sheltering and feeding activity information among emergency managers.
 - The National Emergency Family Registry and Locator System is an electronic tool developed to help disaster-separated family members to communicate with and locate each other. Family members can register for the national database over the phone or Internet and leave messages for family and friends, who can search the database to locate displaced persons. In conjunction with the National Emergency Family Registry and Locator System, the National Emergency Child Locator Center was established to locate children who have become separated from their parents or guardians during a disaster.
 - The Direct Assistance, Replacement Assistance Consideration tool is used to process disaster assistance applicants through the direct housing replacement process. The tool is designed to increase process transparency and enhance disaster survivor services.

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- The Assurance Monitoring and Operations Status is a web-based tool used to track temporary housing units' (e.g., travel trailers and mobile homes) life cycles. The Indoor Air Quality testing program uses it to mitigate formaldehyde or other air quality issues associated with temporary housing units.

Although FEMA has developed new ESF-6 information tools that increase its disaster response capabilities, we are concerned that FEMA has not clearly linked its new tools to its missions. As a result, state, local, and tribal governments, communities, and individuals may not fully understand the universe of disaster recovery tools.

Financial Management and Accountability

FEMA is fulfilling its ESF-6 financial management and accountability responsibilities. Individual Assistance headquarters officials have several funding mechanisms to provide disaster survivors with mass care, housing, and human services. Under the Stafford Act, FEMA may use mission assignments to other federal agencies to support the ESF-6 mission. FEMA can also activate standby Individual Assistance–Technical Assistance Contract services to support the ESF-6 mission.

FEMA individual assistance funding is issued directly to individual households. FEMA's three National Processing Service Centers, located in Maryland, Virginia, and Texas, are staffed by Individual Assistance personnel who perform registration intake, conduct damage verification inspections, determine applicant eligibility, and disburse FEMA's Individuals and Households Program funds directly to disaster survivors.

Individual Assistance headquarters officials work closely with FEMA's Chief Procurement Office personnel to develop and execute several pre-disaster Blanket Purchase Agreements and Individual Assistance-Technical Assistance Contracts for various goods and disaster assistance services. These agreements include the following:

- Contract to perform Indoor Air Quality Screening, including formaldehyde, mold, bio baseline, and environmental testing of all FEMA-acquired temporary housing units;

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- Contract to provide support for the National Donations Management Network;
 - Blanket Purchase Agreement to procure pre-packaged food and beverage supplies; and
 - Blanket Purchase Agreement for food carrier containers.

Conclusion

FEMA is prepared to fulfill its ESF-6 headquarters roles and responsibilities. FEMA hosts or coordinates meetings and conference calls with its stakeholders and has achieved a high level of operational readiness by providing field-level support, initiating multilevel readiness exercises and disaster information updates, and developing new information systems. FEMA is also enhancing its financial management efforts related to its ESF-6 mission by developing new programs and tools.

However, we are concerned that the Individual Assistance Division's overall ability to respond to a disaster may be slowed because its responsibilities are broad. We are also concerned that the partnerships that FEMA has formed with nonprofits and private organizations may be impaired if they do not have resources to respond to an event. Finally, we are concerned that because FEMA has not linked its new ESF-6 disaster information tools with its missions, stakeholders may not clearly understand the universe of disaster recovery resource tools available.

Recommendations

We recommend that the Deputy Assistant Administrator for Recovery:

Recommendation #5: Reassess the structure and function of ESF-6 to determine whether each component's responsibilities are coordinated within an appropriate disaster assistance delivery sequence.

Recommendation #6: Develop coordinated national and regional contingency and operational plans on how to handle an event if nonprofit and private sector partners cannot assist with response efforts.

Recommendation #7: Enhance the awareness of disaster assistance internet based resources to ensure that state, local, and tribal governments, communities and individuals clearly understand the universe of disaster recovery tools available.

Management Comments and OIG Analysis

Recommendation #5: FEMA did not concur with our draft report recommendation of FEMA reassessing the structure and function of ESF-6 to determine whether each component's responsibility is essential when responding to an event. FEMA said it recognizes that the scope of ESF-6 can be cumbersome at times; however, they believe that all ESF-6 components are essential. FEMA also said that eliminating any component of the ESF-6 mission could diminish or eliminate critical services available in ESF-6.

We revised our recommendation to ensure FEMA reassesses the structure and function of ESF-6 to determine whether each component's responsibilities are coordinated within an appropriate disaster assistance delivery sequence. We believe that performing this assessment will enhance FEMA's capabilities with responding to and providing program oversight for ESF-6. FEMA concurred with the revised recommendation. This recommendation will remain resolved and open until we are provided evidence that steps are being taken to implement it.

Recommendation #6: FEMA said that it needed further clarification in order to respond to this recommendation. Specifically, FEMA said that the term private partner was unclear.

We revised our recommendation to clarify its intent by recommending that FEMA develop coordinated national and regional contingency and operational plans on how to handle an event if nonprofit and private sector partners cannot assist with response efforts. FEMA concurred with the revised recommendation. This recommendation will remain resolved and open until we are provided evidence that steps are being taken to implement it.

Recommendation #7: FEMA said that it needed further clarification in order to respond to this recommendation.

We revised our recommendation to clarify its intent by recommending that FEMA enhance the awareness of disaster assistance internet resources to ensure its stakeholders clearly understand the universe of disaster recovery tools available. FEMA concurred with the revised recommendation. This recommendation will remain resolved and open until we are provided evidence that steps are being taken to implement it.

ESF-7: Logistics Management and Resource Support

ESF-7 Logistics Management and Resource Support provides centralized management for the National Logistics Coordinator and management of resource support requirements in support of federal, state, tribal, and local governments. It establishes a framework of internal and external logistics partners through increased collaboration in the planning, sourcing, acquisition, and utilization of resources. FEMA's Logistics Management Directorate and the General Services Administration are the coordinators and primary agencies for ESF-7. FEMA's Logistics Management Directorate provides a comprehensive national disaster logistics planning, management, and sustainment capability that harnesses the resources of federal logistics partners, key public and private stakeholders, and nongovernmental organizations to meet the needs of disaster victims and responders.

Figure 5. Water and ice being distributed after Hurricane Ike



Source: FEMA

Coordination with ESF Stakeholders

FEMA is coordinating with its ESF-7 partners. Specifically, the Logistics Management Directorate relies on and promotes communication and collaboration with the General Services Administration, ESF-7 support agencies, state and local governments, nongovernmental organizations, and the private sector. The Logistics Management Directorate has approached coordination with the ESF stakeholders through a variety of methods, such as communicating through liaisons, working groups, new initiatives, and timely input and feedback. For example, FEMA and the General Services Administration have collaborated on the Transportation Management Initiative, which has helped improve FEMA's ability to provide rapid transportation support for disaster response operations.

The national planning process and coordination involves the Logistics Management Directorate Plans and Exercises Division, which co-sponsors (with the General Services Administration) an annual Logistics Summit for ESF-7 partners, Regional Logistics Section Chiefs, and other internal FEMA partners from Acquisition, Operations, Grants and Disaster Assistance. The General Services Administration Liaison Officer also works with the Logistics Management Directorate Plans and Exercises Division to review, share, and vet contingency plans with other ESF-7 support agencies.

The Logistics Management Directorate has worked with support agencies to create multiple liaisons to support communication between the agencies. The following Liaison Officer positions were created to support ESF-7:

- The General Services Administration Liaison Officer
- The U.S. Northern Command Liaison Officer
- The U.S. Army Corps of Engineers Liaison Officer
- The Defense Logistics Agency Liaison Officer

The General Services Administration Liaison Officer position is assigned full-time to the Logistics Management Directorate. This officer works closely with other planning and exercise activities to support operational plans, including catastrophic planning. The Northern Command and Defense Logistics Agency Liaison Officers are also assigned long-term to the Logistics Management Directorate. The U.S. Army Corps of Engineers and Defense

Logistics Agency Liaison Officers are available for planning support and immediate deployment to FEMA during an event.

The Logistics Management Directorate has worked with support agencies to create an ESF support structure. The Logistics Management Directorate conducts weekly logistics partner calls during disaster and nondisaster periods. Call participants include Regional Logistics Chiefs and key ESF-7 partners. Several support agencies are also part of the Logistics Distribution Management Strategy Working Group, which is responsible for developing and disseminating policies and procedures in support of the ESF-7 mission. The Working Group also analyzes and refines the comprehensive distribution and supply chain management strategy, and participates in after-action reviews and improvement plan processes.

Coordination with states is the responsibility of the Office of Protection and National Preparedness and FEMA Regional Offices. Although ESF-7 does not have the lead role in the coordination with state officials, the Logistics Management Directorate has collaborated with Florida, Texas, and the state of Washington to develop a comprehensive training program for operating points of distribution. The Logistics Management Directorate also embarked on an effort to disseminate the Logistics Capabilities Assessment Tool. This tool was developed in response to a congressional mandate to enhance state logistics preparedness. Since March 2009, FEMA has briefed and trained all 10 FEMA Regional Offices on the Logistics Capabilities Assessment Tool.

To coordinate and collaborate with the private sector, the Logistics Management Directorate relies heavily on guidance and direction from the DHS Private Sector Office, which engages individual businesses, trade associations, and other nongovernmental organizations to foster dialogue with DHS. In 2008, the Logistics Management Directorate established an agreement with FedEx to allow use of FedEx facilities for Incident Support Base pre-staging operations. The Logistics Management Directorate also participates in industry day events hosted by the General Services Administration. At these events, private sector vendors present their products and services to FEMA subject matter experts.

Operational Readiness

The Logistics Management Directorate's operational readiness efforts address its ESF-7 responsibilities. For example, the Logistics Management Directorate Plans and Exercises Division develops and provides logistics plans that detail Concept of Operations for Logistics Management and resource supports to achieve short- and long-term readiness requirements. The Division also conducts planning for sustainment and future logistics operations and planning assessments and analysis for domestic emergencies and special events. The Logistics Management Directorate has also identified required training, pre-positioned disaster supplies, maintained agreements with ESF partners, and implemented new technology to support response operations and timely feedback.

The Logistics Management Directorate, FEMA's Emergency Management Institute, and the General Services Administration are collaborating with the Army Logistics University and the Department of Defense Joint Staff Logistics to develop a pilot interagency logistics course. Entities represented in this initiative include the U.S. Army North, U.S. Transportation Command, U.S. Pacific Command, U.S. Army Corps of Engineers, ESF-6 Mass Care Voluntary Agency Liaisons, and state and local governments.

The Logistics Management Directorate Plans and Exercises Division hosted the 2010 Hurricane Concept of Resource Briefing. The briefing provided a comprehensive review of logistical readiness capabilities in hurricane-prone states and preparation for this year's hurricane season. The session was attended by FEMA regions and partners, including the General Services Administration, the Defense Logistics Agency, the U.S. Army Corps of Engineers, the National Guard Bureau, and ESF-6. The meeting also provided an opportunity for the FEMA regions to provide a detailed description of the collaborative efforts between the states and partners and the ongoing activities in place to ensure a rapid logistical response to any threat or event.

To support disaster response, the Logistics Management Directorate uses Initial Response Resources and interagency agreements. Initial Response Resources are pre-positioned at areas with high hurricane and earthquake risk, as well as other locations in order to ensure that supplies are ready for transport. Pre-positioned Initial Response Resources were delivered to Guam in preparation for a typhoon threatening the Northern Mariana

Islands. In addition, FEMA uses interagency agreements to access contracts held by other federal agencies. For example, FEMA has interagency agreements with the Defense Logistics Agency and the General Services Administration for a number of items, including water and emergency meals.

The Logistics Management Directorate has developed a Logistics Fly-Away Team consisting of key partners, such as the General Services Administration and the Defense Logistics Agency. The team analyzes the logistics operations supporting disasters, tests revised processes and concepts, and gathers lessons learned in order to make the adjustments to improve support functions. The Logistics Fly-Away Team is designed to provide support to a Joint Field Office, specifically in support of the Logistics Section External Support Branch. This branch supports the external operations mission that provides direct federal assistance to the affected state(s).

The Logistics Management Directorate and the General Services Administration conduct after-action reviews after each event. Additionally, the Directorate and the General Services Administration co-host an annual After Action Report Conference to discuss the findings and disposition of identified issues.

The Logistics Management Directorate also has initiated the Logistics Supply Chain Management System, previously referred to as Total Asset Visibility. This system takes a comprehensive approach to the national logistics supply chain that includes ESF partners. The intent is to provide end-to-end supply management, visibility, and situational awareness among all participants. Such automated initiatives will help give visibility over critical partner shipments for ESF-7 operations.

Financial Management and Accountability

The Logistics Management Directorate has executed contracts and is prepared to manage mission assignments, interagency agreements, and vendor-managed contracts to fulfill its ESF-7 financial management and accountability responsibilities.

The Logistics Management Directorate project officer serves as the contracting officer's technical representative for mission assignments and ensures that established guidance for managing mission assignments is followed. To expedite the delivery of federal assistance, the Logistics Management Directorate has 15

pre-scripted mission assignments with 4 federal agencies. Mission assignments include working with the Coast Guard to establish a Federal Operational Staging Area to support operational response to an incident, and working with the Department of Defense to establish and operate retail fuel distribution points to support disaster operations.

FEMA also maintains multiple interagency agreements negotiated with the General Services Administration and the Defense Logistics Agency and has negotiated vendor-managed contracts. These agreements and contracts are activated in the event of an incident to provide services as needed. Interagency agreements and contracts that provide an enhanced logistics readiness capability include the following:

- Vehicle Maintenance Contract Supplies and Services Interagency Agreement
- Transportation Services Interagency Agreement
- Plastic Sheeting (Blue Roof) Blanket Purchase Agreement
- Supplies and Services Interagency Agreement

Additionally, FEMA's Logistics Property Management Division has full responsibility for disaster property accountability and conducts quarterly inventories of the top six disaster commodities stored in FEMA distribution centers and other select pre-positioned storage locations.

Conclusion

FEMA's Logistics Management Directorate is actively engaged in fulfilling its ESF-7 roles and responsibilities and has a robust coordination network with ESF-7 stakeholders. FEMA and the General Services Administration have also collaborated on the Transportation Management Initiative, which has helped improve FEMA's ability to provide rapid transportation support for disaster response operations.

The Logistics Management Directorate has made strides in developing plans and exercises to improve operational readiness, as well as training and developing personnel to respond to an incident. Financially, the Logistics Management Directorate has implemented interagency agreements with the U.S. Coast Guard and the Department of Defense, has pre-negotiated contracts for

commodities needed in a disaster, and is prepared to manage mission assignments.

Yet, FEMA continues to face logistics challenges. In July 2010,⁴ and August 2009,⁵ we issued two reports that provided a detailed look at the Logistics Management Directorate's response capabilities and FEMA's sourcing process. In our July 2010 report, we concluded that FEMA should work with state partners to identify and overcome logistical deficiencies. In our August 2009 report, we concluded that FEMA should integrate existing FEMA systems to support single-point ordering and enhance visibility over the sourcing process.

ESF-9: Search and Rescue

ESF-9 Search and Rescue is responsible for rapidly deploying components of the federal Search and Rescue Response System to provide specialized lifesaving assistance to state, tribal, and local authorities. The Search and Rescue Response System is composed of primary agencies that provide specialized expertise during incidents requiring a coordinated federal response. FEMA is both the coordinator and a primary agency for ESF-9.

Figure 6. Urban Search and Rescue Task Force searches debris after Hurricane Ike



Source: FEMA

⁴ DHS-OIG, *FEMA's Logistics Management Process for Responding to Catastrophic Disasters*, (OIG-10-101), July 2010

⁵ DHS-OIG, *FEMA's Sourcing for Disaster Response Goods and Services*, (OIG-09-96), August 2009

As the ESF-9 coordinator, FEMA has management oversight with ongoing responsibilities throughout the preparedness, response, and recovery phases of incident management. A revised draft ESF-9 Annex states that FEMA activates ESF-9 when an incident is anticipated or occurs that may result in a request for a unified search and rescue response. Once ESF-9 is activated, FEMA will designate a lead primary agency that is appropriate for the type of response needed. The lead primary agency will coordinate the integration of federal search and rescue resources, and all ESF-9 agencies will provide support as required.

As a primary agency, FEMA oversees the National Urban Search and Rescue Response System, which is built around a core of 28 Urban Search and Rescue Task Forces staffed primarily by local fire department and emergency services personnel who are highly trained and experienced in urban search and rescue operations. FEMA's responsibilities include (1) developing national Urban Search and Rescue policy, (2) providing planning guidance and coordination assistance, (3) standardizing task force procedures, (4) evaluating task force operational readiness, (5) funding special equipment and training requirements, and (6) reimbursing task forces for authorized deployments to Stafford Act declaration sites.

Coordination With ESF Stakeholders

As the ESF-9 coordinator, FEMA, specifically the Urban Search and Rescue Program Office, coordinates the ESF-9 mission with federal primary and support agencies before, during, and after an incident. The National Search and Rescue Committee is a federal interagency committee formed to coordinate civil search and rescue matters. FEMA coordinates ESF-9 response planning, including catastrophic planning, and doctrine development with primary and support agencies through the committee. Meetings are held regularly, and both primary and support agencies participate. Most recently, the committee worked on the Catastrophic Incident Search and Rescue Addendum and the Inland Search and Rescue Addendum to the National Search and Rescue Manual. It also revised the *National Response Framework* ESF-9 Annex.

Within FEMA, Urban Search and Rescue officials participate as subject matter experts in catastrophic planning efforts, such as the New Madrid Seismic Zone Catastrophic Earthquake Response Planning Project, planning for the southern California earthquakes, and planning in Puerto Rico and Hawaii. Officials also said that they coordinate ESF activities for critical infrastructure preparedness through these planning efforts. Furthermore, FEMA

is working with the National Geospatial-Intelligence Agency to map transportation routes and the location of critical infrastructure for the Urban Search and Rescue Task Forces.

When an incident occurs, Urban Search and Rescue officials said, they send a team from the Program Office to the National Response Coordination Center to offer strategic support to search and rescue efforts. If it is a “notice” event, such as an approaching hurricane, officials coordinate and share information with ESF-9 partners prior to the incident. For a “no-notice” event, such as an earthquake, officials contact ESF-9 partners as soon as possible. Officials also said that primary agencies will report any ongoing response-related activities to FEMA for inclusion in ESF-9 daily reports.

After an incident, Urban Search and Rescue officials said, they contribute to after-action events related to an ESF-9 activation. For example, FEMA has coordinated in the past with the U.S. Coast Guard for an after-action review. Officials also said that they coordinate with the Department of Justice to process workers’ compensation claims resulting from a search and rescue deployment-related incident.

As the ESF-9 coordinator, FEMA is responsible for identifying and maximizing use of private sector resources in response to an incident. Coordination with the private sector is important because the private sector owns 85% of the Nation’s critical infrastructure. Urban Search and Rescue officials said that they work with building owners during ESF-9 missions. For example, they coordinated with owners to obtain plans for the World Trade Center in New York City.

As an ESF-9 primary agency, FEMA must coordinate with state officials, operations centers, and state agencies. When an incident requires urban search and rescue resources, FEMA deploys Urban Search and Rescue Task Forces and an Incident Support Team that provides coordination and logistical support to the task forces. There are three 21-member Incident Support Teams staffed by FEMA Urban Search and Rescue officials, Urban Search and Rescue Task Force representatives, and federal primary and support agency officials. According to a task force member, the Incident Support Team provides a critical link among the federal government, state and local governments, and the task forces during operations. The Incident Support Team must coordinate with state officials to (1) keep them informed on the status of ESF-

9 resources and incident activities and (2) support ESF-9 integration into ongoing local urban search and rescue operations. The Incident Support Team may also assign a liaison to the State Emergency Operations Center.

Operational Readiness

FEMA is prepared to provide trained ESF-9 staff to fixed and field facilities for an incident requiring urban search and rescue resources. There are 28 FEMA-sponsored Urban Search and Rescue Task Forces strategically located throughout the Nation. A single task force has 210 task force members, who are required to complete courses in the Urban Search and Rescue training curriculum. FEMA confirms that task force members have met training requirements through on-site Operational Readiness Evaluations conducted by FEMA Urban Search and Rescue officials and task force peers. FEMA also facilitates training through an interagency agreement with the U.S. Army Corps of Engineers, and in FY 2009 contributed \$150,000 to support the U.S. Army Corps of Engineers' Urban Search and Rescue Training Program.

FEMA has deployed the Urban Search and Rescue Task Forces and Incident Support Teams in response to numerous incidents. For Hurricane Katrina, FEMA pre-deployed seven task forces to the region a day before landfall in New Orleans, but responders were neither trained nor equipped to perform rescues in a flooded environment, and not all of the federal government's search and rescue assets were integrated for a coordinated response. For example, the Department of Interior has expertise in operating watercraft and conducting search and rescue operations, but at the time of Hurricane Katrina the department was not an ESF-9 partner. Therefore, its offers to deploy rescue boats during the response never reached the operational level. If the Department of Interior had been considered an ESF-9 primary or support agency, then its water assets would likely have been integrated into response operations. After Hurricane Katrina, this situation was rectified by adding the Department of Interior's National Park Service as a primary agency. In spite of the problems, the Urban Search and Rescue Task Forces rescued more than 6,500 people. More recently, a task force was deployed to Michigan in response to a tornado.

FEMA conducts periodic readiness assessments of Urban Search and Rescue Task Forces to ensure that they are deployable. FEMA

requires that all 28 task forces conduct an annual self-evaluation on operational, logistical, and management readiness. FEMA verifies the self-evaluations through the on-site Operational Readiness Evaluations. These evaluations occur every 3 years, and FEMA is currently conducting the second cycle of evaluations. Urban Search and Rescue officials said that for this cycle they have evaluated 24 out of 28 task forces, and only 1 has been deemed “non-deployable.” If a task force receives a low score in a particular area, it is required to submit a corrective action plan, and FEMA conducts a follow-up visit. Urban Search and Rescue officials said that the remaining four evaluations should be completed by September 2010.

FEMA has identified new equipment to respond to threats and hazards, such as personal protection equipment that will allow the task forces to operate safely within a water hazard or a weapons of mass destruction environment. The National Urban Search and Rescue Response System has a work group of subject matter experts that conducts a logistics vetting process. If a task force has identified new equipment that it believes is necessary, then the task force presents that equipment to the work group for approval. If the work group approves the equipment, then the request is forwarded to FEMA for approval and inclusion in the Urban Search and Rescue approved Equipment Cache List. FEMA tracks whether the task forces have complete and functioning equipment caches. FEMA has also identified the capabilities necessary for the task forces and Incident Support Teams to respond to threats and hazards and tracks whether the task forces have these capabilities.

Urban Search and Rescue officials have planned for both short- and long-term incidents. For example, they have a Hawaii catastrophic disaster plan, a hurricane concept of operations plan, and a ‘no-notice’ earthquake concept of operations plan. Officials said that urban search and rescue operations generally last about a week, but they have planned for long-term operations—Hurricane Katrina operations lasted 6 weeks, with the focus going from search and rescue to the recovery of deceased victims. When a long-term operation is required, officials said they plan the continuation of effort by rotating task forces.

Financial Management and Accountability

FEMA uses contracts to procure goods and services to support the ESF-9 mission. For example, FEMA has executed contracts for

urban search and rescue training. Urban Search and Rescue officials said they also have pre-incident standby contracts with private industry for services and supplies required to support the ESF-9 mission. These include contracts for catering services, laundry services, and vehicle fuel. In addition, each Incident Support Team includes a warranted federal contracting officer who can execute purchases, rentals, and leases in the field. Historically, these procurements have included heavy equipment services (e.g., cranes and backhoes), equipment maintenance and repair, facilities leases, and supplies required to support and sustain urban search and rescue operations, such as global positioning systems, toilet paper, mosquito spray, maps, and dog food.

FEMA has in place measures to promote financial and property accountability for ESF-9 activities. Urban Search and Rescue officials said that they conduct technical assistance visits to the Urban Search and Rescue Task Forces to review their finance systems and their documentation on property, personnel, and travel. Furthermore, all task forces are required to submit an annual financial status report, which includes a final performance narrative on use and disposition of equipment and the amount of residual/excess funding. The task forces' sponsoring agencies must also have financial and accounting systems to ensure that funds have been spent properly. Additionally, deployed task forces are required to submit a detailed claim to FEMA for reimbursement after the mission is completed. These claims go through an established review process which determines cost appropriateness prior to payment. To ensure property accountability, all task forces must have an inventory system to manage their equipment cache, and an accountable officer deploys with the Incident Support Team.

Urban Search and Rescue officials use mission assignments as a mechanism to call upon other departments and agencies to support the ESF-9 mission. For example, they are prepared to issue mission assignments to support ESF-9 operations with the National Geospatial-Intelligence Agency for mapping and analysis, the National Park Service for motorized boating crews, and the U.S. Army Corps of Engineers for structural engineering support.

Conclusion

FEMA is fulfilling its ESF-9 roles and responsibilities. FEMA is coordinating with federal primary and support agencies before an incident, including catastrophic event planning, during an incident,

and after an incident. FEMA is also coordinating with state and local governments as well as with the private sector.

Operationally, FEMA is well positioned to provide trained staff to fixed and field facilities during an incident, as the Urban Search and Rescue Response System has nearly 6,000 members. Moreover, through periodic readiness assessments, FEMA can determine the deployment readiness of the Urban Search and Rescue Task Forces. FEMA has also identified new equipment and capabilities necessary for an effective response. In recent years, FEMA has successfully deployed ESF-9 resources.

FEMA has measures in place to ensure financial and property accountability for ESF-9 activities. Furthermore, FEMA has executed contracts for urban search and rescue training and developed pre-scripted mission assignments to support ESF-9 operations.

Recommendations

We recommend that the Supervisory Program Specialist for the Urban Search and Rescue Branch:

Recommendation #8: Complete Operational Readiness Evaluations for the Urban Search and Rescue Task Forces that have yet to be evaluated during this evaluation cycle.

Management Comments and OIG Analysis

Recommendation #8: FEMA concurred with this recommendation and said that it has completed on site Operational Readiness Evaluations for all 28 National Urban Search and Rescue Task Forces.

We consider this recommendation resolved because steps have been taken to implement it; however, it will remain open until evidence is provided that Operational Readiness Evaluations of the four remaining National Urban Search and Rescue Task Forces were completed.

ESF-14: Long-Term Community Recovery

ESF-14 Long-Term Community Recovery is a non-funding entity within FEMA's Recovery Directorate that coordinates federal support for state,

tribal, regional, and local governments, nongovernmental organizations, and the private sector to enable community recovery from the long-term consequences of extraordinary disasters.

Figure 7. Mississippi cottage, created as part of FEMA’s Long-Term Community Recovery’s Alternative Housing Pilot Program



Source: FEMA

The *National Response Framework* designates FEMA as the coordinator and primary agency for ESF-14. The goal of ESF-14 is to provide support during the first 3 to 9 months of recovery; it is not designed to replace state and local authority and responsibility for long-term recovery. The ESF-14 mission is complete when all potential resources and analyses have been identified, coordinated, and given to disaster-affected state and local communities. Although ESF-14 activities are coordinated with federal and state partners throughout all phases of a disaster, its primary role takes place at the beginning of the recovery effort.

ESF-14 may be deployed under the following scenarios:

- A Federal Coordinating Officer in charge of a presidentially declared disaster may request ESF-14 services;
- A State Coordinating Officer may request ESF-14 services; or
- The National Response Coordination Center may activate ESF-14 in disasters with potential long-term recovery issues.

Coordination With ESF Stakeholders

FEMA coordinates with its federal, state, local, nongovernmental organization, and private sector partners prior to, during, and after

a disaster. As a resource coordinator, FEMA does not have the clear authority to direct ESF-14 partners to provide recovery resources when a disaster strikes since ESF-14 partner activities are not emergency work as defined in 44 Code of Federal Regulations 206.201 (b).

According to FEMA officials, they coordinate ESF-14 activities with federal and state partners throughout all phases of a disaster. During a disaster, Long-Term Community Recovery headquarters and field officials participate in interagency meetings to assess and promote interagency coordination at the designated Joint Field Office. Long-Term Community Recovery headquarters and field officials also provide a forum for multiple federal, state, and local stakeholders to discuss and develop long-term community recovery plans and activities. All disaster recovery efforts are guided by state and local disaster priorities.

Long-Term Community Recovery headquarters officials provided the following examples to demonstrate ESF-14 coordination:

- Long-Term Community Recovery officials worked with Texas and partnering federal agencies to address the recovery needs of the most heavily impacted communities following Hurricane Ike. Long-Term Community Recovery officials facilitated multiple interagency working groups, creating a forum for sharing information among government agencies, nonprofits, universities, associations, and private industry. Results of this work include the Hurricane Ike Impact Assessment. The joint analysis and the shared information helped recovery partners prioritize and direct their support to recovery efforts. Relationships were established across multiple sectors, making it easier for recovery partners to address challenges.
- Through interagency meetings in 2008 and 2009, Long-Term Community Recovery officials and the state of Iowa identified federal funding sources available to support the state's desire to utilize smart growth concepts in rebuilding efforts, including considerations for economic growth, public health, and quality of life. As a result of the interagency coordination that took place during these meetings, FEMA, Iowa's recovery office, the Iowa Department of Economic Development, and U.S. Department of Agriculture partnered with the

Environmental Protection Agency's Smart Growth program to offer smart growth support to rebuilding efforts of five communities.

FEMA's coordination efforts with other federal agencies, voluntary agencies, and private sector contractors aligned with the guidance stated in the *National Response Framework*. However, Long Term Community Recovery headquarters officials emphasized that they do not have the authority under the *National Response Framework* to direct ESF-14 partners to provide recovery resources. FEMA's authority to direct federal agencies under other ESFs is based on provisions that support state and local governments' emergency work through mission assignments. Additionally, Long-Term Community Recovery headquarters officials do not have clearly defined procedures to identify and deploy needed recovery services to disaster affected communities through its ESF-14 partners.

Operational Readiness

ESF-14 operational readiness efforts, which include staff hiring and training, are an initial step toward developing comprehensive disaster operational readiness; however, without properly held long-term community recovery exercises, ESF-14 will not be prepared to provide long-term community recovery activities after a major disaster. Long-Term Community Recovery headquarters officials coordinate with ESF 3-Public Works and Engineering; ESF 6-Mass Care, Emergency Assistance, Housing and Human Services; ESF-11 Agriculture and Natural Resources; DHS' Office of Infrastructure Protection; and FEMA's Public Assistance and Mitigation Programs to ensure a fluid transition between short-term and long-term disaster recovery issues.

FEMA augmented its disaster deployment capability through strategic hiring and increasing the number of disaster reservist staff with long-term community development experience. In 2009, FEMA initiated the development of a long-term community development disaster assistance employee cadre to augment its disaster recovery capability. Long-Term Community Recovery headquarters officials have taken community development training and provide similar training to FEMA regional and disaster assistance employees. Long-Term Community Recovery headquarters officials, along with other federal agencies, voluntary agencies, and private sector contractors, prepare disaster after-

action reports to capture lessons learned and identify opportunities for program and process improvements.

ESF-14 readiness may be limited because FEMA has not conducted any long-term community recovery exercises. Long-Term Community Recovery headquarters officials said that the only post-disaster exercise within the federal government was conducted in 2009 by the Environmental Protection Agency. The Environmental Protection Agency's Liberty RadEx was a multijurisdictional, recovery-based, post-emergency exercise that focused on the response and recovery efforts following a chemical attack at an urban federal building. The results of this exercise are not available and have not been assessed at the time of this report.

Financial Management and Accountability

FEMA adequately fulfills its ESF-14 financial management and accountability responsibilities. ESF-14 is not a funding entity, but facilitates the identification, coordination, and use of resources to support long-term recovery. However, Long-Term Community Recovery headquarters officials provide recovery coordinating activities through pre-scripted and post-event mission assignments with the Environmental Protection Agency, the Department of Housing and Urban Development, the Department of Agriculture, the Department of Commerce's Economic Development Administration, and the Department of Transportation.

Long-Term Community Recovery officials work with technical support contractors. FEMA recently awarded a contract to Coordination and Planning Partners to serve as a dedicated long-term recovery service provider. In the past, FEMA has issued ESF-14 task orders under FEMA's Public and Individual Assistance-Technical Assistance Contracts. For example, task orders were issued with some companies for long-term recovery services, program development, and post-event technical recovery support. Additionally, FEMA has contracted with another entity to support an ESF-14 Evaluation Tool.

Conclusion

FEMA is generally capable of fulfilling its ESF-14 roles and responsibilities. However, in a large-scale disaster, FEMA's ability to assist state and local communities in providing long-term recovery services may be limited. ESF-14 Long-Term Community Recovery is a non-funding coordinating entity that cannot compel

federal agencies to provide disaster recovery support through the use of direct emergency work mission assignments. Additionally, FEMA does not have procedures to identify and deploy needed recovery services to disaster affected communities and has not assessed the abilities of its ESF-14 partners to respond to a disaster. Furthermore, FEMA does not conduct adequate long-term community recovery exercises. Without regularly scheduled exercises to ensure that Long-Term Community Recovery team members are prepared, ESF-14 will not be fully capable of providing recovery efforts to disaster-affected states and communities.

Recommendations

We recommend that the Deputy Assistant Administrator for the Recovery Directorate:

Recommendation #9: Develop deployment procedures to assist ESF-14 officials to identify and deploy needed recovery services to disaster affected communities through its ESF-14 partners.

Recommendation #10: Schedule regular ESF-14 exercises and establish outcome metrics for these exercises.

Management Comments and OIG Analysis

Recommendation #9: FEMA concurred with this recommendation and said that partner agencies will be expected to clearly identify their programs that contribute to recovery services and identify agency personnel with the necessary qualifications to participate in long-term community recovery assistance efforts. FEMA also said that this recommendation will be integrated into a general procedure for deployment of ESF-14 or successor efforts under the *National Disaster Recovery Framework*.

We consider this recommendation resolved because steps are being taken to implement it; however, it will remain open until evidence is provided that FEMA has developed deployment procedures for identifying and deploying recovery services to disaster-affected communities through its ESF-14 partners.

Recommendation #10: FEMA concurred with this recommendation and said that it has been working to include ESF-14 Long Term Recovery in recent exercises. FEMA also said that

upon publication of the *National Disaster Recovery Framework*, additional efforts will be made to develop national doctrine and expectations for all levels of long-term recovery planning that will be useful in developing long-term recovery exercises.

We consider this recommendation resolved because steps are being taken to implement it; however, it will remain open until evidence is provided that FEMA is scheduling ESF-14 exercises and establishing outcome metrics for these exercises.

ESF-15: External Affairs

Providing timely lifesaving information before, during, and after major incidents is a critical function of government and a priority for DHS and FEMA. Directed by the DHS Assistant Secretary for Public Affairs, ESF-15 is designed to ensure that sufficient federal communication resources are assigned during an incident that requires a coordinated federal response in order to provide accurate, coordinated, and timely information to affected audiences, including governments, media, the private sector, and the public. ESF-15 integrates public affairs, congressional affairs, intergovernmental affairs (state, tribal, and local coordination), community relations, and the private sector under the coordinating support of external affairs.

Figure 8. Administrator Fugate speaks at community press conference in Devils Lake, North Dakota



Source: FEMA

FEMA has been designated as the primary agency to orchestrate federal actions to support state, tribal, and local incident management elements for ESF-15. DHS is the coordinating agency and is responsible for ESF-15 management oversight. ESF-15 activities are implemented in coordination with the DHS Office of Public Affairs and components of the National Operations Center and Domestic Readiness Group.⁶

Coordination With ESF Stakeholders

Since Hurricane Katrina, FEMA has enhanced its capabilities to rapidly engage federal, state, and local authorities, and the private sector in order to coordinate, develop, and disseminate consistent and sustained public information and instructions during an incident requiring a coordinated federal response. Additionally, FEMA uses a collaborative process to develop and execute communications plans that include program and support offices, FEMA's 10 Regional Offices, and the Office of External Affairs.

DHS' Office of Public Affairs and FEMA's Office of External Affairs use the National Incident Communications Conference Line before, during, and after an incident to coordinate and implement the public message for a federal response to disasters and emergency declarations. The National Joint Information Center, operated by DHS' Office of Public Affairs, is the central point for coordination of incident information, public affairs activities, and media access to information. Furthermore, FEMA's Office of External Affairs compiles facts daily to update information on key federal efforts by responding agencies, key messages, essential statistics, and talking points about a disaster or emergency.

Along with the National Incident Communications Conference Line, DHS and FEMA engage their state and private sector partners with similar communications, the State Incident Communication Conference Line and the Private Sector Communication Conference Line. The purpose of the State Incident and Private Sector Communication Conference Lines is to enable federal-to-state communication and coordination and to share federal incident information with appropriate private sector and critical infrastructure sources. Additionally, FEMA holds an annual meeting with state governors' Principal Information

⁶ The Domestic Readiness Group is a White House led structure facilitating a comprehensive, integrated, and coordinated approach to domestic incident management. The Domestic Readiness Group convenes on a regular basis to develop and coordinate preparedness, response, and incident management policy.

Officers and states' Homeland Security Principal Information Officers to coordinate prevention, protection, response, and recovery communications for the public.

Besides developing the Private Sector Communication Conference Line, DHS and FEMA have reached out to the public sector in other ways. In September 2008, during the response to Hurricane Gustav, ESF-15 reached out to Entergy Power to participate in incident management briefings so that Governor Jindal of Louisiana could inform the public of power restoration efforts. In November 2009, Administrator Fugate delivered the keynote address at an event sponsored by communication industry leaders (such as Google, Microsoft, and Yahoo!), which built on National Aeronautics and Space Administration and World Bank efforts to bring together disaster relief experts and software engineers in order to identify key challenges and develop solutions for disaster relief.

The most important coordination effort among White House Office of Communications, DHS, FEMA, and ESF-15 support agencies was the creation of the Domestic Communication Strategy, a dynamic, evolving strategy that includes federal department and agency options and actions that can be employed in response to a credible threat or "no-notice" incident. The strategy is adaptable and can be adjusted as necessary to support emergent communication planning efforts, particularly during the pre-incident phase. After a disaster, the Domestic Communication Strategy will evolve through after-action reports and lessons learned.

Operational Readiness

FEMA continues to make strides with its ESF-15 operational readiness efforts. Specifically, FEMA and numerous federal agencies worked closely with DHS' Office of Public Affairs to update the ESF-15 Standard Operating Procedures in August 2009, and implemented corrective actions to address incident coordination concerns identified during the TOPOFF 4 exercise. In addition, following the implementation of the formalized mandatory credentialing initiative, FEMA developed a credentialing plan for 46 positions held by employees who deploy to disaster sites. DHS and FEMA have also embraced innovative technologies to disseminate accurate and timely information to the public.

The Department of Defense—specifically, the U.S. Army Corps of Engineers—is identified in the ESF-15 Standard Operating Procedures as a support agency capable of deploying a public affairs officer, but it is not listed as a support agency in the current version of the *National Response Framework*. The U.S. Army Corps of Engineers supports ESF-15 activities by deploying a public affairs officer to provide external affairs support, to include pre-incident and post-incident assessments of public works and infrastructure as well as recovery efforts. This includes publicizing the availability of ice and water, debris removal, power, temporary housing demolition, logistical distribution points, and other related information for the survivor community and other audiences. When the *National Response Framework* is updated, FEMA needs to include the U.S. Army Corps of Engineers with the other support agencies to ensure that stakeholders and the public are aware of the U.S. Army Corps of Engineers’ ESF-15 role and responsibilities.

ESF-15 capabilities have been enhanced by testing and proving incident communications methods and operations, and identifying areas needing improvement, through national level exercises. For example, TOPOFF 4 tested the effectiveness of integrating the private sector and critical infrastructure and key resources public information offices into the National Joint Information Center and field centers. Most important, it revealed that ESF-15 needs to refine and improve the federal-state-local strategic communication flow within the National Joint Information Center structure. DHS and FEMA recognize that and other areas of concern require follow on discussions and attention for improvement.

In January 2009, ESF-15 began implementing a mandatory, agency-wide credentialing initiative to ensure that deployed employees are qualified to perform specific duties in response to a disaster. ESF-15 has developed a credentialing plan for 46 external affairs positions. The external affairs cadre is typed and credentialed at four levels: trainee, basically qualified, fully qualified, and expert. The goal is to have 85% of the external affairs cadre attain basically qualified credentialing standards and 15% attain fully qualified within the first year.

FEMA has adopted several recent technologies to optimize the dissemination of incident response information to the public. FEMA uses nationwide social media sites such as Facebook, YouTube, and Twitter to provide information related to disaster preparedness, response and recovery. FEMA has also procured

three Emergency Communication Kits. These kits are the size of a medium suitcase and can be carried by a single person, so they are deployable anywhere people can reside. These kits are specialized units with the capability to connect to remote resources while in the field under adverse circumstances. The user can establish satellite or cellular communications that can be used to set up a mobile office with a scanner, printer, webcam, and laptop. Other key technological updates include Deployable Satellite Uplink Units and a Ready Room, which allows full connectivity for 12 users to field mobile devices.

Financial Management and Accountability

Contracts and mission assignments have been particularly valuable to advancing the ESF-15 mission. Through limited English proficiency and special needs communications contracts, FEMA is able to provide stakeholders involved with response and recovery an array of services, including language translation and interpretation. During the North Dakota floods in 2009, FEMA provided translation in Korean, Spanish, Vietnamese and other languages for disaster survivors with limited English proficiency. FEMA also provided special needs communication for American Sign Language and Braille. Such contracts allow FEMA to provide a valuable media service to individuals who do not speak English as a first language or who require special needs communication. *The Post Katrina Emergency Management Reform Act* requires FEMA to ensure that information made available to individuals affected by a major disaster or emergency is available in formats that can be understood by individuals with disabilities and special needs.

Additionally, FEMA has issued contracts for media monitoring, analysis and metrics services. The purpose of these services is to search terms related to emergency management, gauge the tone of the media, and identify audiences reached and the coverage equivalent in terms of positioning and advertising dollars based on industry rate cards. FEMA deploys Media Analysis Specialists and managers to ensure financial accountability by reviewing media analysis reports for accuracy and content.

FEMA also uses pre-scripted mission assignments directed to other federal departments and agencies to augment ESF-15 missions during a disaster or emergency. FEMA officials said that they have executed ESF-15 mission assignments with 15 other federal partners. For example, FEMA mission-assigned the

Environmental Protection Agency during the response to Hurricane Ike to deploy an environmental subject matter expert. FEMA believes using pre-scripted mission assignments allows federal resources to deploy quicker and standardizes the process of developing the mission assignments.

Conclusion

FEMA has greatly enhanced its capabilities over the past several years to fulfill its ESF-15 roles and responsibilities. Specifically, DHS and FEMA have developed instruments to promptly mobilize federal, state, and local authorities in order to coordinate, develop, and disseminate a consistent and sustained public message during an incident.

DHS and FEMA operational readiness efforts continue to be enhanced, as evidenced by the August 2009 update of ESF-15 Standard Operating Procedures and participation in the TOPOFF 4 exercise. Additionally, following the implementation of the mandatory credentialing initiative, ESF-15 developed a credentialing plan for more than 45 external affairs positions that are regularly deployed to disaster sites.

FEMA has also embraced emerging technologies to disseminate accurate and timely information to the public through a variety of methods. Such methods include social media sites, Emergency Communication Kits, and a Ready Room, which allows full connectivity for 12 users to field mobile devices.

FEMA uses contracts and pre-scripted mission assignments to help publicize accurate and appropriate information. ESF-15 has pre-disaster contracts in place to provide limited English proficiency and special needs communications, and media monitoring. FEMA also has executed ESF-15 mission assignments with federal partners for major incidents, such as deploying subject matter experts during the response to Hurricane Ike.

Recommendations

We recommend that the Director for External Affairs:

Recommendation #11: Collaborate with the FEMA Office of Protection and National Preparedness to ensure that all federal agencies and departments with a role in ESF-15 activities are properly included in the *National Response Framework*.

Management Comments and OIG Analysis

Recommendation #11: FEMA concurred with this recommendation and said that it will ensure that the appropriate federal agencies and departments having a role in ESF-15 are included in the revised version of the *National Response Framework*. FEMA also said that its External Affairs office will coordinate with DHS – Office of Public Affairs to support and ensure all appropriate federal agencies and departments with a role in ESF-15 are closely coordinated.

We consider this recommendation resolved because steps are being taken to implement it; however, it will remain open until evidence is provided that it has been fully implemented.

Appendix A

Purpose, Scope, and Methodology

The objective of our review was to determine the extent to which the Federal Emergency Management Agency (FEMA) is prepared to fulfill its Emergency Support Function (ESF) roles and responsibilities under the *National Response Framework*. We focused our review on those ESF Annexes in which FEMA is a coordinator, a primary agency, or both.

To conduct fieldwork we used the Inspection Guide “An IG’s Guide for Assessing Federal Response Capabilities” that the Council of the Inspectors General on Integrity and Efficiency developed. This inspection guide is being piloted by our office and other OIGs. We interviewed DHS and FEMA officials and examined the *National Response Framework* and its ESF annexes, as well as documentation relating to coordination with ESF stakeholders, federal planning initiatives, operational readiness, and financial management and accountability.

We acknowledge the cooperation and courtesies extended to our team during this review. We conducted this review between November 2009 and June 2010 under the authority of the *Inspector General Act of 1978*, as amended, and according to the *Quality Standards for Inspections* issued by the Council of the Inspectors General on Integrity and Efficiency.

Appendix B

Management Comments to the Draft Report

U.S. Department of Homeland Security
500 C Street, SW
Washington, DC 20472



FEMA

MEMORANDUM FOR: Matt Jadacki
Assistant Inspector General
Office of Emergency Management Oversight
Office of Inspector General

FROM: David J. Kaufman 
Director
Office of Policy and Program Analysis

SUBJECT: Comments on OIG Draft Report, *Assessment of Federal
Emergency Management Agency's Emergency Support
Function Roles and Responsibilities*

Thank you for the opportunity to review and comment on the Office of Inspector General's (OIG's) subject draft audit report. As the Federal Emergency Management Agency (FEMA) works toward refining its programs, the OIG's independent analysis of program performance greatly benefits our ability to continuously improve our activities. Technical comments have been submitted under separate cover.

The following are comments regarding the audit's observations and conclusions which are organized below by the sections of your draft report:

Executive Summary and Results of Review

With respect to the assertion that *there was little evidence that support agencies are regularly included in planning meetings for an Emergency Support Function Mission...*, FEMA recommends that the language in these sections be revised to reflect FEMA's increased proactive engagement, and successful partnership with Emergency Support Function (ESF) agencies. FEMA has invested substantial time in meeting with the ESF agencies in both group and one-on-one meetings to discuss disaster response roles and responsibilities; address issues relating to functional and operational procedures and assignments; review capabilities; and provide additional clarification where needed. The meetings have ensured that ESF agencies support critical planning activities, and can maintain response, situational awareness, and common operating picture capabilities. FEMA routinely meets with its National- and Regional-level partners through the

www.fema.gov

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auspices of the Emergency Support Functions Leadership Group (ESFLG) and the Regional Interagency Steering Committees (RISCs). In fact, the priorities in the *FEMA Administrator's Intent* are to "build unity of effort among the entire emergency management team" and "work with our partners to address the most significant risks." FEMA has been reinvigorating partnerships at all levels and specifically has re-engaged the members of the ESFLG to integrate the role of the ESFs and RISCs more fully into the disaster response structure, improving interagency coordination and facilitating disaster response operations. In addition to developing information sharing processes and requirements and formalizing relationships, a new ESFLG charter has been drafted and is in the final stages of review.

FEMA also coordinates with ESF partners in developing strategic all-hazards, time-sequenced plans of preparedness, response actions, and decision making points. The objective of these ongoing one-on-one meetings is to bolster operational readiness and ensure that the ESFs have the capability to maintain comprehensive situational awareness, proper coordination, and resource/action tracking visibility during an incident. Video-Teleconferences (VTCs) can also be held to coordinate and resolve any number of preparedness, response, and recovery issues. VTCs are highlighted as a success story related to information sharing among FEMA and its Federal Partners for the DHS Information Sharing and Governance Board.

FEMA routinely convenes multi-agency VTCs and conference calls involving the ESFLG, FEMA Regional staff, and incident-specific command and operations centers at the Federal and State levels upon receipt of actionable warnings. At these events, basic incident-specific preparedness, response, and initial recovery actions are introduced, coordinated, and synchronized in preparation for possible response. Through the experiences and lessons learned during disaster cycles, FEMA can note areas of improvement and focus resources and capabilities appropriately on those regions and states that may need assistance.

In another example, FEMA Headquarters staff and regional staff have been working closely with the ESF departments and agencies to develop, enhance, and revise Pre-Scripted Mission Assignments (PSMA) to ensure that they understand their roles, responsibilities and requirements associated with developing and implementing the PSMA. PSMA is a mechanism through which Federal agencies, departments, and organizations can come to agreement in advance of an event in order to provide assistance to state and local governments during a disaster.

FEMA is now convening ESFLG meetings no less frequently than monthly. Agency representatives are expected to represent their agency's *National Response Framework* (NRF) function as well as their own department or agency. ESFLG members are encouraged to invite their supporting agencies to the ESFLG meetings. If the supporting agencies are not able to attend, it is the responsibility of ESFLG members to disseminate information shared or decisions made at the meetings with them.

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ESF-6

With respect to the statement in the draft report on page 23, *Although ESF-6 headquarters officials coordinate with their partners, we are concerned that if a major disaster occurred in today's economy, ESF-6 efforts with supporting nonprofit and private organizations may be limited because these organizations may have staffing and funding resource limitations, leaving the federal government to rely heavily on mission assignments with other federal agencies (OFA) to accomplish the ESF-6 mission. FEMA should have contingency plans on how to handle an incident if nonprofit and private partners cannot help in the response efforts*, FEMA believes the term "private organizations" is unclear and needs clarification. Moreover, the conclusion incorrectly suggests that FEMA has not established robust contingency plans to address potential shortfalls in the Voluntary Agency response community. The opposite is actually true.

FEMA has well-established contingency plans in place at this time to address shortfalls when local, State, or Voluntary Agencies are not able to address response needs. FEMA regions have established plans that include contingencies based on use of Mission Assignment, Blanket Purchase order, or Technical Assistance Contract activation. Regions have developed these plans with their State and Voluntary Agency partners so that this contingency is well understood; FEMA Headquarters provides the same planning and coordination with Voluntary Agencies at the National level.

In the event that a non-governmental organization, supporting a State, needs assistance with resources or services, the State will submit a request to FEMA through the Action Request Form process and after validation and approval, FEMA will meet those needs through one of its many sourcing mechanisms. This includes procurement of Durable Medical Equipment, Consumable Medical Supplies, food product commodities, shelter support items, infant and toddler supplies, and household pet supplies.

If sheltering and shelter staff resources are requested, those needs may be met by utilizing the Mission Assignment process to request personnel through one of our federal partners, such as the Corporation for National and Community Services (including AmeriCorps). FEMA's Individual Assistance Technical Assistance Contracts (IA-TACs) may also be tapped for turn-key shelter operation and management. The IA-TACs may also be used to support or augment feeding missions, warehousing, and distribution of emergency supplies. FEMA's support contractors have the capacity to shelter over 350,000 survivors per day and serve over two million meals per day.

Also on page 23, the following paragraph is incorrect: *We are also concerned that FEMA's Individual Assistance headquarters capabilities to respond and provide program oversight may be slowed because of ESF-6's expansive scope of responsibility. ESF-6 consists of mass care, emergency assistance, housing, and human services, each of which has extensive missions. FEMA should assess each component's role to ensure that the component's responsibility is essential when responding to an incident.*

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FEMA recognizes that coordination of ESF-6 can be challenging at times; however, we do not agree that any component part of ESF-6 is non-essential. FEMA coordinates the many parts of ESF-6 from response through recovery, ensuring that individuals and families have access to the spectrum of federal, State, voluntary agency, and private sector assistance. Eliminating any single component of the ESF-6 mission could diminish or eliminate the critical services available to disaster survivors, from sheltering and feeding through case management and interim housing. As an alternative to the OIG's proposed recommendation, OIG could recommend that FEMA continue to enhance the coordination of ESF-6 through national exercises and training with their ESF-6 support agencies.

With respect to the Operational Readiness discussion concerning ESF-6, this section does not mention the multi-million dollar readiness contracts that support Housing, Mass Care, Sheltering, Feeding, and other Technical Assistance requirements for the Individual Assistance mission in the regions; nor does it cover the extensive training provided to Individual Assistance cadre members during steady state and on response operations.

With respect to the draft report's eleven recommendations, FEMA concurs with the recommendations with the exceptions noted below. While we will be providing corrective action plans in our 90-day response, we provide the following information:

Recommendation #1: Complete the statutorily required annual reports from the Regional Emergency Communications Coordination Working Groups to ensure that any issues identified in the regions are addressed and to assess communications capabilities in the regions.

Response: FEMA concurs with this recommendation and has already finalized the 2009 Regional Emergency Communications Coordination Working Groups report. The report is undergoing final review within FEMA and will be provided to the OIG upon final clearance. Upon transmittal to the OIG, FEMA will ask that this recommendation be considered closed.

Recommendation #2: Ensure that FEMA fulfills its ESF-3 requirements, including coordinating with ESF-3 primary and support agencies on both planning and operations.

Response: FEMA concurs with this recommendation. The United States Army Corps of Engineers (USACE) is the lead ESF-3 agency during the response phase, while FEMA is lead during the recovery phase. FEMA Public Assistance (PA) and the USACE have a longstanding partnership that involves continued interaction and coordination before, during, and after emergency and disaster declaration. FEMA ensures that it fulfills its ESF-3 requirements and responsibilities through the PA Program by staffing the Infrastructure Support Branch Director position when ESF-3 or other infrastructure ESFs are activated pursuant to the *National Response Framework* (NRF). The strong partnership has included regular meetings, teleconferences, planning workshops, joint

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training, and guidance of debris removal. Interagency task forces are also in place for debris, levee, and other recovery related issues. FEMA and USACE are regular participants in semi-annual Senior Leadership seminars, tabletop exercises, and National Level Exercises. FEMA PA involves USACE and other relevant agencies, such as the Environmental Protection Agency (EPA) and the United State Coast Guard (USCG) in the development and review of it guidance and policies. FEMA PA also regularly partners with USACE, EPA, USCG, Department of Transportation (DOT), and the National Resources Conservation Service (NRCS) to establish Interagency Debris Task Forces, Interagency Wet Debris Task Forces, and Interagency Levee Task Forces in order to coordinate federal response.

FEMA asks that this recommendation be considered closed.

Recommendation #3: Examine FEMA's classification as a primary agency for ESF-3 since its roles and responsibilities are similar to those of other support agencies and examine the suitability of all listed ESF-3 support agencies given that they are often not active participants in planning or exercises.

Response: FEMA concurs with this recommendation and will continue to examine its current role under ESF-3. However, at this time, FEMA does not plan to propose a re-designation of FEMA under ESF-3, and FEMA does play a primary role for infrastructure during the recovery phase.

Recommendation #4: Ensure ESF-3 responsibilities are aligned with the *National Disaster Recovery Framework* and evaluate whether FEMA's recovery portion of ESF-3 is still a necessary part of ESF-3 and the *National Response Framework* as a whole.

Response: FEMA concurs with this recommendation and has continued the partnership with USACE, as well as with other agencies and partners, in the development of the *National Disaster Recovery Framework* (NDRF) and the Recovery Support Function (RSF) construct. The transitions between ESFs under the *National Response Framework* (NRF) and the RSFs under the NDRF are being discussed and coordinated as the RSF annexes are developed. Additionally, the NRF is scheduled for revision in 2011, providing an opportunity to address NDRF transitional issues within the NRF itself as appropriate.

Recommendation #5: Reassess the structure and function of ESF-6 to determine whether each component's responsibility is essential when responding to an event.

Response: FEMA does not concur with this recommendation. FEMA recognizes the scope of ESF-6 can be cumbersome at times; however, we do not agree that any part of ESF-6 is non-essential. FEMA coordinates the many parts of ESF-6 from response through recovery, ensuring that individuals and families transition through the full spectrum of federal, State, voluntary agency, and private sector assistance. Eliminating

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any single component of the ESF-6 mission could diminish or eliminate the critical services available in ESF-6, from sheltering and feeding through case management and interim housing. As an alternative to this recommendation, OIG could recommend that FEMA continue to enhance the capability and readiness of ESF-6 through national exercises and training with their ESF-6 support agencies.

Recommendation #6: Develop contingency plans on how to handle an event if nonprofit and private partners cannot assist with response efforts.

Response: In order to respond to this recommendation, FEMA needs further clarification. The term “private partners” is unclear in this context – is the OIG’s concern that Technical Assistance Contract support will be diminished, or the entire private sector? FEMA recommends either re-writing or eliminating this recommendation - contingency plans are in place nationally and have been coordinated with our Voluntary Agency partners.

Recommendation #7: Link the new ESF-6 disaster information tools to its missions.

Response: In order to respond to this recommendation, FEMA needs further clarification and will be unable to implement this recommendation as written.

Recommendation #8: Complete Operational Readiness Evaluations for the Urban Search and Rescue Task Forces that have yet to be evaluated during this evaluation cycle.

Response: FEMA concurs with this recommendation and has taken the action to implement it. The National Urban Search and Rescue (US&R) Program completed the current generation of on-site Operational Readiness Evaluations (OREs) of Task Forces. CA-TF1 and CA-TF2 were completed in June 2010 and NY-TF1 and VA-TF1 were completed in July 2010. All 28 National US&R Task Forces have now been evaluated using the current ORE criteria.

FEMA asks that this recommendation be considered closed.

Recommendation #9: Develop deployment procedures to assist ESF-14 officials to identify and deploy needed recovery services to disaster affected communities through its ESF-14 partners.

Response: FEMA concurs with this recommendation. ESF-14 has been making efforts to evolve its interagency structure in its 5 years of existence. Prior to the initiation of the *National Disaster Recovery Framework*, ESF-14 had been working to develop a substructure to better organize agencies, and their capabilities. These Recovery Support Functions groupings originally developed under ESF-14 were evaluated, and modified for inclusion in the NDRF. When the NDRF is finalized, it is expected that roles and responsibilities for partner agencies will be increased. In general, partner agencies will

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be expected to clearly identify the programs contributing recovery services and clearly identify agency personnel with the necessary qualifications to participate in long term community recovery (LTCR) assistance efforts. Concurrent with this recommendation, ESF-14 is also underway with plans to address a similar recommendation from the Government Accountability Office (GAO) to develop clear and consistent criteria for when ESF-14 will become involved in a disaster. This recommendation and the GAO recommendation will be integrated into a general procedure for deployment of ESF-14 or successor efforts under the NDRF.

Recommendation #10: Schedule regular ESF-14 exercises and establish outcome metrics for these exercises.

Response: FEMA concurs with this recommendation.. A significant challenge for establishing proper exercises and measuring outcome metrics is the presence of an organized and planned system that works between local and state governments and then regional and national federal agencies. There are currently no requirements nor doctrine for preparedness plans for long term recovery planning at any level. It is challenging at best to exercise plans that do not currently exist. Current catastrophic and other disaster preparedness planning does not fully include long term community recovery.

FEMA has been working to include ESF-14 Long Term Recovery in recent exercises, including Liberty RadEx, and National Level Exercise (NLE) 2010. More extensive long term recovery elements are planned for inclusion in the National Level Exercise for 2011, to include New Madrid. The *National Disaster Recovery Framework*, which is still under development, sets expectations for recovery preparedness planning for all levels of government. We expect that upon publication of the NDRF additional efforts will be made to develop national doctrine and expectations for all levels of long term recovery planning that will greatly aid in definition of metrics that will be meaningful for use in developing exercises.

Recommendation #11: Collaborate with the FEMA Office of Policy and Program Analysis to ensure that all federal agencies and departments with a role in ESF-15 activities are properly included in the *National Response Framework*.

Response: FEMA concurs with the recommendation with the modification that the Office of Policy and Program Analysis is not the proper collaborative partner for this activity. FEMA will coordinate with the appropriate office, Protection and National Preparedness, to ensure that the appropriate federal agencies and departments having a role in ESF-15 are included in the revised version of the *National Response Framework*. FEMA External Affairs will also coordinate with the DHS – Office of Public Affairs to support and ensure all appropriate federal agencies and departments with a role in ESF 15 are closely coordinated. This process will begin in the next 30 days, and the timeline for inclusion in the *National Response Framework* will be at the discretion of Protection and National Preparedness.

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Thank you again for the opportunity to comment on this draft report and we look forward to working with you on other issues as we both strive to improve FEMA.

Appendix C

Emergency Support Function Coordinators and Primary and Support Agencies

EMERGENCY SUPPORT FUNCTIONS															
Agency	#1 Transportation	#2 Communications	#3 Public Works and Engineering	#4 Firefighting	#5 Emergency Management	#6 Mass Care, Emergency Assistance, Housing, and Human Services	#7 Logistics Management and Resource Support	#8 Public Health and Medical Services	#9 Search and Rescue	#10 Oil and Hazardous Materials Response	#11 Agriculture and Natural Resources	#12 Energy	#13 Public Safety and Security	#14 Long-Term Community Recovery	#15 External Affairs
USDA			S		S	S	S	S		S	C/P/S	S		P	S
USDA/FS	S	S	S	C/P		S	S	S	S	S			S		
DOC	S	S	S	S	S		S	S	S	S	S	S	S	S	S
DOD	S	S	S	S	S	S	S	S	P	S	S	S	S	S	S
DOD/USACE	S		C/P	S		S	S	S	S	S	S	S	S	S	
ED					S										S
DOE	S		S		S		S	S		S	S	C/P	S	S	S
HHS			S		S	S	S	C/P	S	S	S			S	S
DHS	S	S	S		S		S	S	S	S	S	S	S	P	C
DHS/FEMA	S	P	P	S	C/P	C/P/S	C/P	S	C/P	S	S			C/P	P
DHS/NCS							S					S			
DHS/USCG	S		S	S				S	P	P			S		
HUD	C/P				S	S								P	S
DOI	S	S	S	S	S	S	S	S	P	S	P/S	S	S	S	S
DOJ	S					S		S	S	S	S				S
DOL			S		S	S	S	S	S	S	S	S		S	S
DOS	S		S	S	S			S		S	S	S/C/P			S
DOT	C/P		S		S	S	S	S		S	S	S		S	S

C = ESF Coordinator, P = Primary Agency, S = Support Agency

Appendix C
Emergency Support Function Coordinators and Primary and Support Agencies

EMERGENCY SUPPORT FUNCTIONS (continued)															
Agency	#1 Transportation	#2 Communications	#3 Public Works and Engineering	#4 Firefighting	#5 Emergency Management	#6 Mass Care, Emergency Assistance, Housing, and Human Services	#7 Logistics Management and Resource Support	#8 Public Health and Medical Services	#9 Search and Rescue	#10 Oil and Hazardous Materials Response	#11 Agriculture and Natural Resources	#12 Energy	#13 Public Safety and Security	#14 Long-Term Community Recovery	#15 External Affairs
TREAS					S	S							S	S	S
VA			S		S	S	S	S					S		S
EPA			S	S	S			S		C/P	S	S	S	S	S
FCC		S			S										S
GSA	S	S	S		S	S	C/P	S		S	S				S
NASA					S		S		S				S		S
NRC			S		S							S			S
OPM					S		S								S
SBA					S	S								P	S
SSA						S			S				S		S
TVA			S		S							S			S
USAID								S	S						S
USPS	S				S	S		S			S		S		S
ACHP											S				
ARC			S		S	S		S			S			S	
CNCS			S			S								S	
DRA														S	
HENTF											S				
NARA											S				
NVOAD						S								S	

C = ESF Coordinator, P = Primary Agency, S = Support Agency

Abbreviations for Departments and Agencies Listed in the Emergency Support Functions Table

USDA	U.S. Department of Agriculture
USDA/FS	U.S. Department of Agriculture/Forest Service
DOC	Department of Commerce
DOD	Department of Defense
DOD/USACE	Department of Defense/U.S. Army Corps of Engineers
ED	Department of Education
DOE	Department of Energy
HHS	Department of Health and Human Services
DHS	Department of Homeland Security
DHS/NCS	Department of Homeland Security/National Communications System
DHS/USCG	Department of Homeland Security/U.S. Coast Guard
HUD	Department of Housing and Urban Development
DOI	Department of Interior
DOJ	Department of Justice
DOL	Department of Labor
DOS	Department of State
DOT	Department of Transportation
TREAS	Department of Treasury
VA	Department of Veterans Affairs
EPA	Environmental Protection Agency
FCC	Federal Communications Commission
GSA	General Services Administration
NASA	National Aeronautics and Space Administration
NRC	Nuclear Regulatory Commission
OPM	Office of Personnel Management
SBA	Small Business Administration
SSA	Social Security Administration
TVA	Tennessee Valley Authority
USAID	U.S. Agency for International Development
USPS	U.S. Postal Service
ACHP	Advisory Council on Historic Preservation
ARC	American Red Cross
CNCS	Corporation for National and Community Service
DRA	Delta Regional Authority
HENTF	Heritage Emergency National Task Force
NARA	National Archives and Records Administration
NVOAD	National Voluntary Organizations Active in Disaster

Appendix D

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